University Senate
March 21, 2016

The University Senate met in regular session at 3 pm on Monday, March 21, 2016 in the Athletics Association Auditorium of W. T. Young Library. Below is a record of what transpired. All votes were taken via electronic voting devices unless indicated otherwise; specific voting information can be requested from the Office of the Senate Council.

Senate Council Chair Andrew Hippisley (AS) called the University Senate (Senate) meeting to order at 3:01 pm. He reminded senators to pick up their clickers.

The Chair called for an attendance vote and 60 senators registered their presence.

1. <u>Minutes from February 8, 2016 and Announcements</u>
The Chair reported that a couple editorial corrections were received. There being no additional revisions and **no objections**, the minutes from February 8, 2016 were **approved** as amended by **unanimous consent**.

The Chair reported on his participation in the campuswide initiative to offer unconscious bias training for faculty employees. He introduced faculty subcommittee co-chair, Sonja Feist-Price (ED/Early Childhood, Special Education, & Rehabilitation Counseling, assistant provost for faculty advancement) and Claire Hart, the Human Resources strategic business partner and coordinator of the campuswide unconscious bias initiative. Guest Feist-Price offered background information on the unconscious bias initiative, which started in 2014 when information was gathered regarding how to impact climate and inclusion on campus. There were a handful of questions from senators. Guest Hart noted that the overall goal is to make UK a place of welcome and inclusivity where all opinions and diverse perspectives are welcomed and encouraged.

The Chair noted that the Senate was co-sponsoring a public art forum in W. T. Young Library later that evening at 6:30 pm. The panelists included: Jim Clark, executive director of Ashland, the Henry Clay Estate; Melynda Price, Robert E. Harding Jr. Professor of Law and Director of the UK African American and Africana Studies Program; Arturo Alonzo Sandoval, Alumni Endowed Professor of Art at the UK School of Art and Visual Studies; Richard Schein, Professor and Chair of UK Geography; and moderator Stuart Horodner, Director of UK Art Museum. He explained that food would be available to senators in the Alumni Gallery after the Senate meeting and before the forum.

2. <u>Officer and Other Reports</u>
a. <u>Chair</u>
The Chair reported the following actions.

- The SC approved two changes to 2016-17 calendar: "submit" instead of "accept" for three Graduate School-related activities; and move of last day to withdraw in spring 2017 from January 17 to January 18.

- The annual email soliciting nominations for area committee will be sent soon to all faculty. The Chair encouraged senators to spend a few minutes thinking about which faculty are the best to serve on promotion, tenure, and other committees.

- Senate will likely have a first reading on the proposed new Lewis Honors College in April. The SC sponsored a two-hour question and answer session the week prior; the Chair opined that the comments and input were helpful. There were about 45 attendees from around the campus.

Answering questions were Ben Withers, dean of Undergraduate Education and Diane Snow, interim director of the Honors Program. The moderator was Ernie Bailey, chair of the Senate Academic Organization & Structure Committee. The Chair said that notes from the meeting were on the Senate website: http://www.uky.edu/Faculty/Senate/files/Meetings/1_2015-2016/Honors/PropNewHonCol.html

- Following Provost Tim Tracy's discussion with SC about title series, the SC charged the Senate Advisory Committee on Appointment, Promotion and Tenure (SACAPT) and Senate Advisory Committee on Privilege & Tenure (SACPT) to:

    Meet jointly with Provost Tracy and review UK's current title series system to determine the feasibility of changing to a system such as a system with two title series (tenure-eligible and non-tenure-eligible), with ranks in both series at assistant professor, associate professor, and (full) professor, with the inclusion of multi-year contracts (rolling or not) for faculty in the non-tenure-eligible title series.

b. Vice Chair
The Chair explained that Vice Chair McCormick (ED) was out of the country and not in attendance.

c. Parliamentarian
There was no report from Parliamentarian Catherine Seago (LI).

d. Trustee
Faculty trustee John Wilson (ME) said there was not much to report and thanked faculty who had written to legislators in the Kentucky House and Senate regarding the state's budget. In response to questions from Jones (ME), Wilson said that practices varied over the years regarding who was allowed into a closed session when a committee of the Board of Trustees (Board) went into closed session. Recently, committee chairs had basically welcomed any Board member into the closed session, not just members of the committee. When the Board's Executive Committee met recently, the Board Chair chose not to include all trustees and only allowed Executive Committee members into the closed session. He said the closed session pertained to the President's salary. Debski asked if Board members were interacting with Kentucky's legislature, too. Wilson replied that individual members had contacted legislators.

3. Committee Reports
a. Senate's Academic Programs Committee (SAPC) - Margaret Schroeder, Chair
i. New University Scholars Program: BA English and MA English
Schroeder (ED), chair of the Senate's Academic Programs Committee (SAPC), explained the proposal. The Chair said that the **motion** from the SAPC was that the University Senate approve the establishment of a new University Scholars Program of a BA/BS English and MA English in the Department of English within the College of Arts and Sciences. Because the motion came from committee, no **second** was required. There were no questions from senators. A **vote** was taken and the motion **passed** with 70 in favor and one opposed

ii. New Master of Public Financial Management
Schroeder explained the proposal. The Chair said that the **motion** from SAPC was that the University Senate approve, for submission to the Board of Trustees, the establishment of a new Master of Arts in

Public Financial Management, in the Martin School of Public Policy and Administration within the Graduate School. Because the motion came from committee, no **second** was required. Wood (AS) said that the correct name of the degree was not a Master of Arts degree, but that it was a Master of Public Financial Management with a major in Public Financial Management. Schroeder accepted that on behalf of the SAPC as a **friendly amendment**.

Sachs (AS) asked if the Gatton College of Business and Economics already offered something similar; Guest Eugenia Toma (GS/Martin School of Public Policy and Administration) said that Gatton faculty will be involved in the program. There being no further questions, a **vote** was taken on the motion that the University Senate approve, for submission to the Board of Trustees, the establishment of a new Master of Public Financial Management with a major in Public Financial Management, in the Martin School of Public Policy and Administration within the Graduate School. The motion **passed** with 69 in favor and two abstaining.

iii. <u>New Graduate Certificate in Public Financial Management</u>
Schroeder (ED) explained the proposal. The Chair said that the **motion** from SAPC was that the University Senate approve the establishment of a new Graduate Certificate in Public Financial Management, in the Martin School of Public Policy and Administration within the Graduate School. Because the motion came from committee, no **second** was required. There were a couple questions from senators. A **vote** was taken and the motion **passed** with 71 in favor and two opposed.

iv. <u>New Graduate Certificate in Improving Healthcare Value</u>
Schroeder (ED) explained the proposal. The Chair said that the **motion** from the SAPC was that the University Senate approve the establishment of a new Graduate Certificate in Improving Healthcare Value within the College of Public Health. Because the motion came from committee, no **second** was required. In response to Jones (ME), Schroeder confirmed that the certificate will be homed at the college level. There being no further questions, a **vote** was taken and the motion **passed** with 64 in favor, five opposed, and three abstaining.

b. <u>Senate's Admissions and Academic Standards Committee (SAASC) - Scott Yost, Chair</u>
i. <u>Proposed Changes to Admissions and Academic Standards for All Nine BS Degree Programs in Engineering, Following the Introduction of the New First-Year Engineering Curriculum</u>
Yost (EN), chair of the Senate's Admissions and Academic Standards Committee (SAASC), explained the proposal. The Chair said that the **motion** from SAASC was that the University Senate approve the changes to admissions and standards for all nine BS degree programs in the College of Engineering following the introduction of a new first-year Engineering curriculum (Biosystems Engineering, Chemical Engineering, Civil Engineering, Computer Engineering, Computer Science, Electrical Engineering, Materials Engineering, Mechanical Engineering, Mining Engineering). Because the motion came from committee, no **second** was required. Grossman (AS) stated for the record that any gains in the Engineering curriculum would be overwhelmed by the disaster of allowing students to wait a semester or more in between taking the first general chemistry class and the second general chemistry class. Guest Kim Anderson (EN/Chemical and Materials Engineering, associate dean) explained that she mentioned at the SC meeting that Engineering was not sure about why some students delayed taking the second general chemistry class but that under the new curriculum, students would now be actively engaged in Engineering classes beginning in their first semester. She noted that when she attended SC she said that Engineering was open to making changes if necessary, but wanted to give things a try and see how it worked. There were a variety of questions from senators.

A **vote** was taken and the motion **passed** with 66 in favor, five opposed, and one abstaining.

ii. Standard of Evidence in Academic Offenses - Proposed Changes to *Senate Rules 6.4* ("Academic Offenses and Procedures")
Yost (EN) explained the proposal, noting that it stemmed from a report by the Ombud to the SC. The Chair said that the **motion** from SAASC was a recommendation that the University Senate approve the changes to *SR 6.4*. Because the motion came from committee, no **second** was required.

There were a variety of questions from senators, many regarding the exact definition of what "preponderance of evidence" specifically meant. Yost added that he contacted the chair of the University Appeals Board (UAB), Joe Fink, who confirmed that the consistently used preponderance of evidence in its deliberations because there was no written standard of evidence to use. Some senators raised concerns that the meaning of "preponderance of evidence" would not be obvious to students. Folmar (AG, student) said she appreciated the possibility of a student having difficulty understanding what the phrase meant, but a Google search quickly offered helpful information.

There being no additional comments or questions, a **vote** was taken and the motion **passed** with 52 in favor, 15 opposed, and four abstaining.

c. Senate's Rules and Elections Committee (SREC) - Connie Wood, Chair
i. Proposed Revision to *Senate Rules 1.5.2* ("Election: Two Voting University Faculty Members, Board of Trustees")
Wood (AS), chair of the Senate's Rules and Elections Committee (SREC), explained the proposal. The Chair said that the **motion** from SREC was a recommendation that the University Senate approve the changes to *SR 1.5.2*. Because the motion came from committee, no **second** was required. There was one question and one comment.

A **vote** was taken and the motion **passed** with 66 in favor and one opposed.

The Chair asked Wood if she would give senators an update on elections. Wood said that the trustee election was coming up to fill the trustee position currently held by Wilson (ME). Wood said that the SREC hoped to have a preliminary voting round from April 4 – 11 and a second round from April 18 – 25.

4. Title IX Language - Proposed Addition to Syllabus Template/Guidelines
The Chair asked permission to postpone discussion on the Title IX language because the proposer was unable to attend the Senate meeting; he said it could be on the April Senate agenda. There were no objections from senators.

5. Proposed Changes to *Administrative Regulations 3:2* ("Phased Retirement Policy and Program")
Guest Marcy Deaton, associate general counsel, offered historical information about past changes to the regulation, as well as gave an overview of suggestions from the bodies that recently reviewed the proposal, including the SC's suggestions. The SC suggested adding information to an FAQ about the following three issues: effect of phased retirement on an employee's ability to access the Employee Education Program and Family Education Program; clearly stating that while the maximum duration of phased retirement is five years, the current norm is three years; and clarifying whether time spent on phased retirement can be counted towards earning a sabbatical. In response to Wilson, Deaton said that a link to a FAQ can be added into the regulation.

Guest Joey Payne, chief benefits officer, also answered questions. Both Payne and Deaton made it clear that there was no absolute right to a phased retirement agreement and any such agreement must be approved by the employee's unit. Phased retirement is a benefit and is offered when there is a benefit to the University for doing so. There were many questions from senators about how phased retirement works.

The Chair said that the **motion** from SC was a recommendation that the Senate endorse the revisions to *Administrative Regulations 3:2* ("Phased Retirement"). Because the motion came from committee, no **second** was required. When there were no further questions, a **vote** was taken and the motion **passed** with 57 in favor, five opposed, and two abstaining.

6. Registered Investment Advisor (RIA) Fee Cap Proposal - Joey Payne, Chief Benefits Officer
Guest Joey Payne, chief benefits officer, gave senators a presentation on UK's intent to cap the fees paid to a registered investment advisor that come directly from an employee's retirement account. There were a variety of comments from senators.

The Chair said there was no time to discuss "other business" but solicited a motion for adjournment. There was no motion or vote for adjournment, as everyone was busy leaving.

Respectfully submitted by Katherine McCormick,
University Senate Secretary

Invited guests present: Kim Anderson, Jeff Clymer, Marcy Deaton, Sonja Feist-Price, Claire Hart, Joey Payne, Larry Prybill, and Eugenia Toma.

Absences: Allen, Bada[*], Bailey, Bird-Pollan, Birdwhistell, T., Birdwhistell, M., Blackwell, Blonder*, Brennen, Brown, K, Burks, Butler*, Carvalho, Cassis, Clark, Cofield, Cox, Crist, Cross, de Beer, Doolen, D'Orazio, Doyle, El-Mallakh*, Geneve, Gower, Healy*, Health*, Herrera*, Kornbluh, Kyrkanides, Lauersdorf, Lehman, Loven, Martin, Mazur, McCormick*, McCulley*, Nash, Nathu, Niespodziany, O'Hair, D.*, Real, Rice, Richey, Rohr, Royster, Sanderson, Schultz*, Shen*, Smith*, Smyth*, Swanson, Symeonidis*, Tick, Tracy, Vasconez, Vernon, Vosevich, Walz, Wasilkowski, Watt, Wedeking*, Williams, Wilson, M.*, Wilson, K, Witt, Woods, Xenos, and Yeager.

Prepared by Sheila Brothers on Monday, April 4, 2016.

[*] Denotes an absence explained prior to the meeting.

Brothers, Sheila C

From: Schroeder, Margaret <m.mohr@uky.edu>
Sent: Tuesday, February 16, 2016 8:26 PM
To: Brothers, Sheila C; Hippisley, Andrew R; Ellis, Janie
Subject: USP: English
Attachments: ENG, University Scholars Program FINAL.pdf

Proposed New University Scholars Program: BA/BS English and MA English

This is a recommendation that the University Senate approve the establishment of a new University Scholars Program: BA/BS English and MA English in the Department of English within the College of Arts and Sciences.

The revised proposal is attached.

Best-

Margaret

Margaret J. Mohr-Schroeder, PhD | Associate Professor of STEM Education | COE Faculty Council Chair | SAPC University Senate Committee Chair | University Senator | Secondary Mathematics Program Co-Chair | STEM PLUS Program Co-Chair | Department of STEM Education | University of Kentucky | www.margaretmohrschroeder.com

Proposal for a University Scholars program for the Master of Arts in English

Introduction and Rationale

The Department of English offers the degree of Master of Arts (MA) as part of our graduate program. This degree requires thirty hours and is available with a thesis or non-thesis option. Approximately four students complete the MA degree each year and almost all choose the non-thesis option. The Department also has an active Master of Fine Arts (MFA) program in Creative Writing and a Doctor of Philosophy (PhD) degree in Literature, as well as a Bachelor of Arts and Bachelor of Science in English.

The Department proposes to establish a University Scholars program for our MA program in English. This program will help to increase the number of English majors at Kentucky who choose to pursue graduate study, and strengthen the preparation of those who go on to further study in English. More specifically:

- This program will provide a formal path for our best undergraduate students to begin graduate study.
- At the same time, strong undergraduate students with the potential to excel, but who may not yet be quite ready or competitive for top graduate programs, can better prepare themselves through this program.
- There will be significant efficiencies for the students, who will be able to complete their MA degree in one year of study beyond the BA.
- Students who earn a MA degree in this program will be terrifically positioned to continue on for doctoral study, or to enter other graduate programs of study, such as Law, or to look for jobs in which an MA in English would be beneficial.

Program Admission

A student seeking admission to the MA University Scholars program in English is required to meet the following requirements:

1. The student must be an undergraduate pursuing the BA or BS in English and must apply for the University Scholars Program in the Spring semester prior to their senior year.
2. The student must have 90 hours completed or in progress at the time s/he applies and be on track to complete a Bachelor's degree in English during the first year of the University Scholars program.
3. The student must have an overall GPA of 3.2 or above on a 4.0 scale and must have a GPA of 3.5 in English (including cross-listed) courses.
4. The applicant must follow the current application procedures for the Graduate School and the Graduate Program in the Department of English and

must meet the admission standards of the Graduate School and MA program in the Department of English.

5. Admission is at the discretion of the English Department Graduate Committee.

Program of Study

In the first year of the University Scholars Program, students may take up to twelve hours of graduate-level coursework that can be dual-counted towards the BA and MA requirements. They will also complete any outstanding BA requirements. In the second year of the program, students will complete the remaining eighteen hours for the MA degree. Participation in the University Scholars program does not change any undergraduate degree requirement or MA degree requirement.

The Director of Graduate Studies (DGS) or a faculty advisor will advise the students in the University Scholars program regarding the graduate program. The student's undergraduate advisor will continue to provide guidance on the student's undergraduate program.

English USP Program Assessment Plan
(Addendum to Proposal, January 28, 2016)

The English University Scholars Program (USP) will be assessed according to the following methods and criteria. Each year, the Department Chairperson or Director of Graduate Studies will gather the following criteria:

- Number of applicants to the program
- Number of applicants from underrepresented groups
- Selectivity within admissions
- Yield of admitted students
- GRE and undergraduate GPA of applicants and admitted students and enrolled students
- Number of students in the program
- Attrition rate between first and second year
- 2-year graduation rate
- Employment of graduates and/or admission of graduates to doctoral programs

We will evaluate the information each year in order to make adjustments to our recruiting of new students and our advising of current students as necessary. Over time, the information will also be an important point of information for any curricular adjustments we may consider in order to make our students as competitive as possible for employment or eventual doctoral study.

5-YEAR CURRICULAR MAP

ENG University Scholars Program (B.A. + M.A.)

YEAR 1	
FALL ‡UK Core CC1 (3) ¤Foreign language 101 (4) UK Core QFO (3) UK Core ACR (ENG 107- ENG pre-major) (3) UK Core GDY (3) Total Credits: 16	**SPRING** UK Core CC2 (3) ¤Foreign language 102 (4) UK Core HUM (ENG 230- ENG pre-major) (3) UK Core SIR (3) UK Core NPM (3) Total Credits: 16
YEAR 2	
FALL ¤Foreign language 201 (3) UK Core CCC (3) ENG 2xx Historical Survey (3) A&S NS(3) UK Core SSC (3) + LAB (1) Total credits: 16	**SPRING** ¤Foreign language 202 (3) ENG 2xx Historical Survey (3) ENG 330: Text & Context (GCCR) (3) A&S SS (3) ◊ Elective (3) Total Credits: 15
YEAR 3	
FALL ° ENG course 300-500 level (Early Period) (3) ° ENG course at 300-500 level (3) * ENG course at 300-500 level (3) * ENG course at 300-500 level (3) *A&S NS (3) Total Credits: 15	**SPRING** *ENG course at 300-500 level (3) *ENG course above 400-level (3) *ENG course above 400-level (3) *A&S SS (3) * Elective (3) Apply to USP Program Total Credits: 15
YEAR 4	
FALL ° MA ENG course at 600-700 level (3) * MA ENG course at 600-700 level (3) *300+ course in allied discipline (3) *300+ course (3) ◊ Elective (3) Total Credits: 15	**SPRING** ° MA ENG course at 600-700 level (3) ° MA ENG course at 600-700 level (3) ◊ 300+ course in allied discipline (3) ◊ 300+ course in allied discipline (3) Total Credits: 12
YEAR 5	
FALL ENG 600+ (3) ENG 600+ (3) ENG 600+ (3) Total Credits: 9	**SPRING** ° ENG 600+ (3) * ENG 600+ (3) *ENG 600+ (3) Total Credits: 9

‡ Incoming students are strongly encouraged to take WRD 112 to fulfill the CC1 and CC2 requirements if they have any of the following: an ACT English score of 32 or Higher, an SAT Verbal score of 720 or Higher, or an AP English Composition score of 4 or 5. If the Student has been accepted into the University Honors Program, the Student is required to take WRD 112 to fulfill CC1 and CC2.

* To be discussed with your academic advisor.

¤ Students who have taken at least 2 years of a language in high school can complete the A&S Foreign Language Requirement with 3 college semesters of a different language. **Also note that if you take a foreign language placement exam, you may be exempt from 1 or more of the beginning semesters of that language.** Any language sequence may be used to satisfy the foreign language requirements - French, German, Greek, or Latin is recommended.

❖ 6 hours of 'free' electives - that do not count toward any other requirement - must be taken. Additional electives may be required to earn the required minimum of 120 hours.

o Major Elective credit at the 200 level is restricted to: two additional ENG Historical Surveys that are not counted toward the Historical Survey requirement; plus two of the following: ENG 207, ENG/LIN 221, ENG 260, ENG 280, and ENG 290. Otherwise English electives must be at the 300-500 level. Two electives must be at the 400-level, and one must be above 407.

UK Core Abbreviations HUM =Intellectual Inquiry in the Humanities NPM=Intellectual Inquiry in the Natural/Physical/Mathematical Science SSC=Intellectual Inquiry in Social Sciences ACR=Intellectual Inquiry in Arts & Creativity GCCR = Graduation Composition and Communication	CC1= Composition and Communication I CC2= Composition and Communication II QFO= Quantitative Foundations SIR= Statistical Inferential Reasoning CCC= Community, Culture and Citizenship in U.S. GDY= Global Dynamics
College of Arts & Sciences Abbreviations SS: Social Sciences NS: Natural Sciences Lab: College Laboratory or Field Experience Requirement	

Brothers, Sheila C

From: Nikou, Roshan
Sent: Friday, December 11, 2015 10:41 AM
To: Brothers, Sheila C; Carvalho, Susan E; Ellis, Janie; Ett, Joanie M; Hippisley, Andrew R; Jackson, Brian A; Lindsay, Jim D.; Nikou, Roshan; Price, Cleo; Timoney, David M
Cc: Molloy, Janelle; Parker, Steve; Perkins, Andrea L; Harmon, Camille; Clymer, Jeffory A; McCuddy, Jacqueline R; Ivanov, Bobi
Subject: Transmittal
Attachments: Masters in KHP Sport Leadership w sig-signed.pdf; Ph.D.Radiation Sciences-signed.pdf; ENG, University Scholars Program, 10_20, 2015-signed.pdf; Masters Program CHANGE Form 2015-HB-MPH.pdf; MHA Program Change 2015 Form.pdf; HA-CPH Course Change Table_TOGC-signed.pdf

TO: Andrew Hippisley, Chair and Sheila Brothers, Coordinator
Senate Council

FROM: Susan Carvalho, Chair and Roshan Nikou, Coordinator
Graduate Council

The Graduate Council approved the following proposals and is now forwarding them to the Senate Council to approve. All the courses listed below, are accessible via E-Cats' workflow.

Programs
Ph.D. in Radiation Science
University Scholars English
Master of Public Health
Master of Health Administration
Master in KHP

Courses
PA 695 Data and Revenue Forecasting
PA 696 Legal Issues in Public Financial Management
PA 697 Special Topics in Public Financial Management
BAE 535 Environmental Control System Design and Reclamation
CHE 516 Inorganic Materials Chemistry
CPH 716 Proseminar in Occupational Health and Safety
CPH 746 Research Methods and Program Evaluation
LIN 615 Advanced Phonology
LIN 622 Advanced Syntax
LIN 640 Advanced Laboratory in Linguistics
LIN 709 Advanced Seminar in Semantics and Pragmatics

UNIVERSITY OF KENTUCKY

College of Arts & Sciences
Educational Policy Committee
202 Patterson Office Tower
Lexington, KY 40506-0027

859 257-6689
fax 859 257-2635

www.as.uky.edu/education-policy-committee

10/20/15

Dear Graduate Council,

The College of Arts and Sciences Education Policy Committee unanimously approved the English University Scholars proposal on Tuesday, October 6, 2015.

Sincerely,

Stephen Testa
Chair, Education Policy Committee

Harmon, Camille

From:	Clymer, Jeffory A
Sent:	Wednesday, September 02, 2015 3:58 PM
To:	Harmon, Camille
Cc:	Pickett, Kristen B
Subject:	English University Scholars Program
Attachments:	ATT21020.docx; English University Scholars Proposal.docx
Follow Up Flag:	Follow up
Flag Status:	Flagged

Dear Camille,

The English Department voted today to establish a University Scholars Program (5-year combined BA/MA) within the English department. The vote was 23-0, with 1 abstention. I'm attaching the proposal that we voted to accept, as well as a curricular map for the degree. Would you please start the proposal through the approval process? Thanks, and let me know if you need anything else from me at this point.

Best,

Jeff

Jeffory A. Clymer
Professor and Chairperson
Department of English
University of Kentucky
859.257.2901
http://english.as.uky.edu/users/jaclym3
http://english.as.uky.edu/

Brothers, Sheila C

From: Schroeder, Margaret <m.mohr@uky.edu>
Sent: Monday, March 28, 2016 2:54 PM
To: Brothers, Sheila C; Hippisley, Andrew R; Ellis, Janie
Subject: Re: Master of Public Financial Management

This is a recommendation that the University Senate approve, for submission to the Board of Trustees, the establishment of a new Master of Public Financial Management degree: Public Financial Management, in the Martin School of Public Policy and Administration within the Graduate School.

Best-

Margaret

Margaret J. Mohr-Schroeder, PhD | Associate Professor of STEM Education | COE Faculty Council Chair | SAPC University Senate Committee Chair | University Senator | Secondary Mathematics Program Co-Chair | STEM PLUS Program Co-Chair | Department of STEM Education | University of Kentucky | www.margaretmohrschroeder.com

NEW MASTERS DEGREE PROGRAM FORM

(Attach completed "Application to Classify Proposed Program"[1])

GENERAL INFORMATION

College:	Graduate School	Department:	Martin School of Public Policy and Administration
Major Name:	Master of Arts (MA)	Degree Title:	Master of Public Financial Management
Formal Option(s):	NA	Specialty Fields w/in Formal Option:	NA

Date of Contact with Associate Provost for Academic Administration[1]:	NA

Bulletin (yr & pgs):		CIP Code[1]:	44.0501	Today's Date:	7.28.15

Accrediting Agency (if applicable):	NA

Requested Effective Date:	☐ Semester following approval.	OR	☒ Specific Date[2]:	August 2016

Dept. Contact Person:	Merl Hackbart	Phone:	859-257-1627	Email:	m.hackbart@uky.edu

CHANGE(S) IN PROGRAM REQUIREMENTS

1.	Number of transfer credits allowed	9
	(Maximum is Graduate School limit of 9 hours or 25% of course work)	
2.	Residence requirement (if applicable)	NO
3.	Language(s) and/or skill(s) required	NO
4.	Termination criteria	YES
5.	Plan A Degree Plan requirements[3] (thesis)	NO
6.	Plan B Degree Plan requirements[3] (non-thesis)	YES
7.	Distribution of course levels required	600
	(At least one-half must be at 600+ level & two-thirds must be in organized courses.)	
8.	Required courses (if applicable)	12
9.	Required distribution of courses within program (if applicable)	12
10.	Final examination requirements	YES
11.	Explain whether the proposed new program (as described in numbers 1 through 10) involve courses offered by another department/program. Routing Signature Log must include approval by faculty of additional department(s).	
	YES	

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[1] Prior to filling out this form, you MUST contact the Associate Provost for Academic Administration (APAA). If you do not know the CIP code, the APAA can provide you with that during the contact.

[2] Programs are typically made effective for the semester following approval. No changes will be made effective until all approvals are received.

[3] If there is only one plan for the degree, plans involving a thesis (or the equivalent in studio work, etc.) should be discussed under Plan A and those not involving a thesis should be discussed under Plan B.

Rev 8/09

12.	What is the rationale for the proposed new program?

	There are few public administration schools in the country providing nationally recognized concentrations in public financial management (the Martin School at the University of Kentucky, the Maxwell School at Syracuse, the University Indiana or to a lesser degree the University of Georgia or the University of Nebraska at Omaha) and few schools provide graduate programs specifically focused on training financial managers for mid-level or senior positions in public and non-profit organizations. The need for enhanced training and professional financial management degree programs has been recognized by national association's including the Association of Governmental Accountants and the Government Financial Officer's Association. The 36-hour online Master of Public Financial Management (MPFM) will offer rigorous academic and practical training for traditional students seeking an advanced degree as well as those currently working within the area of governmental finance and accounting and non-profit organizations. The MPFM builds upon strong foundations in finance and accounting including advanced topics in areas specific to public financial management including government accounting, auditing, securities, pensions/insurance, forecasting and other subjects.

NEW MASTERS DEGREE PROGRAM FORM

Signature Routing Log

General Information:

Program Name: Master of Public Financial Management

Proposal Contact Person Name: Merl Hackbart Phone: 859-257-1627 Email: m.hackbart@uky.edu

INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
Martin School Faculty	May 12th, 2015	Merl Hackbart / 859-257-1625 / m.hackbart@uky.edu	
Graduate Council	Sept 3, 2015	BRIAN A. JACKSON / 7.7126 /	
Faculty Senate Council		/ /	
University Senate		/ /	
		/ /	

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision[4]
Undergraduate Council	NA		
Graduate Council	9/3/15	Roshan Nikou	
Health Care Colleges Council	NA		
Senate Council Approval		University Senate Approval	

Comments:

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[4] Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.

Rev 8/09

PROPOSAL
Master of Public Financial Management Program

Submitted by
James P. Martin School of Public Policy and Administration

PROPOSAL
Master of Public Financial Management Program

Submitted by
James P. Martin School of Public Policy and Administration

A. ABSTRACT

The Master of Public Financial Management is designed to meet the current and expanding national demand for well-trained financial managers for public and non-profit organizations. The Martin School, because of its historical focus on public finance and financial management and national reputation resulting from its 2nd place national ranking in this area by U.S. News and World Report, is particularly suited to initiate a new program to train students with this focus in cooperation with the Von Allmen School of Accountancy

Governments at all levels as well as non-profit organizations are facing multiple challenges as they attempt to efficiently and effectively manage their finances and initiate new programs that are financially sustainable. Their efforts are made more difficult by their inability to find and attract well-trained financial management graduates who are interested in pursuing careers as financial managers or by their ability to find seasoned professionals prepared to accept the responsibilities associated with senior finance positions in their organizations. The public administration schools and departments have been slow to provide the targeted training and skill sets needed by mid-career professionals or by new graduates desiring a career in public financial management.

The Martin School has perceived an unmet need for rigorous public financial management, and analytic methodology to answer and analyze complex financial issues in the public sector. It seeks to help meet this need by providing a Master of Public Financial Management (MPFM) degree program. The MPFM program will differ from the interdisciplinary Master of Public Administration (MPA) and the Master of Public Policy (MPP) degrees in several respects:

1) The MPFM program will prepare students for advanced-careers in public financial management and analysis. The MPP program prepares students for a policy analyst or research career; the MPA prepares students for public management and administration positions.

2) The MPFM will offer advanced topics in public accounting, audit, municipal securities, public pensions/insurance, and other special topics in public finance, topics not included in the MPA or MPP programs.

3) The MPFM program will be offered completely online, allowing for non-traditional students and the flexibility of online coursework.

Master of Public Financial Management: By offering the Master of Public Financial Management (MPFM), the Martin School is seeking to fill a niche that is not being addressed currently with other traditional and online graduate programs. By combining the academic strengths and reputation of the Martin School faculty in public budgeting and public finance along with faculty from the Von Allmen School of Accountancy in governmental accounting and audit, the MPFM will set itself apart from other programs. Furthermore, the online format offers a convenient and ever-popular means of achieving the degree.[1]

There are few public administration schools in the country providing nationally recognized concentrations in public financial management (the Martin School at the University of Kentucky, the Maxwell School at Syracuse, the University Indiana or to a lesser degree the University of Georgia or the University of Nebraska at Omaha) and few schools provide graduate programs specifically focused on training financial managers for mid-level or senior positions in public and non-profit organizations. The need for enhanced training and professional financial management degree programs has been recognized by national association's including the Association of Governmental Accountants and the Government Financial Officer's Association.

B. PROGRAM DESCRIPTION: Master of Public Financial Management

The 36-hour online Master of Public Financial Management (MPFM) will offer rigorous academic and practical training for traditional students seeking an advanced degree as well as those currently working within the area of governmental finance and accounting and non-profit organizations. The MPFM builds upon strong foundations in finance and accounting including advanced topics in areas specific to public financial management including government accounting, auditing, securities, pensions/insurance, forecasting and other subjects.

Faculty of Record: Faculty of Record: The following page lists three senior faculty members who have agreed to serve as faculty of record for the proposed Graduate Certificate in Public Financial Management. Beyond those listed, future faculty will be selected one of two ways: from the graduate faculty of the supporting departments (Martin School of Public Policy and Administration and the Von Allmen School of Accountancy) or through a hiring process which will screen applicants for appropriate credentials. If visiting or other faculty are selected to serve as course instructors, the Martin School will approve only those instructors with appropriate credentials to qualify as temporary appointments to the UK Graduate Faculty and/or to meet AQ status as reported to our accrediting body NASPAA and SACS. If a faculty of record was to become ineligible for any reason, the position could be filled temporarily or permanently by the graduate faculty of the departments or selected through the aforementioned process.

[1] Note: The Martin School will offer an online Graduate Certificate Program in Public Financial Management as part of the program. This program, a first for the Martin School, will be attractive to students desiring only an introduction of class offerings in public financial management.

- **Dr. Merl Hackbart, Interim Director**
  Martin School of Public Policy and Administration
  University of Kentucky
  859-257-1627, m.hackbart@uky.edu

I, Merl Hackbart, plan to serve as a faculty member and instructor as part of the new online Master's in Public Financial Management degree program. As an instructor, I have offered my support for the program and will be teaching courses in my area of expertise—public financial management.

[signature]	1/29/16
Signature	Date

- **Dr. Dwight Denison, Professor of Public & Nonprofit Finance**
  Martin School of Public Policy and Administration
  University of Kentucky
  859-257-5742, dwight.denison@uky.edu

I, Dwight Denison, plan to serve as a faculty member and instructor as part of the new online Master's in Public Financial Management degree program. As an instructor, I have offered my support for the program and will be teaching courses in my area of expertise—public financial management.

Dwight Denison	1-29-16
Signature	Date

- **Dr. Eugenia Toma, Wendell H. Ford Professor of Public Policy**
  Martin School of Public Policy and Administration
  University of Kentucky
  859-257-1156, eugenia.toma@uky.edu

I, Eugenia Toma, plan to serve as a faculty member and instructor as part of the new online Master's in Public Financial Management degree program. As an instructor, I have offered my support for the program and will be teaching courses in my area of expertise—public financial management.

Eugenia Toma	1-29-16
Signature	Date

Program Director: The Program Director position is currently being reviewed by University of Kentucky Human Resources. Plans include hiring someone as the director; however, without the position created, it is not possible at this time to name a director. Until then, Dr. Merl Hackbart is considered the Director of the Master’s in Public Financial Management degree program.

Admission: The Martin School is a nationally-ranked, competitive program. The Admissions Committee reviews each file in an applicant's dossier in order to admit academically strong applicants that show the greatest potential for completing the program and succeeding in a career. Academic qualifications are accessed based on grade point average, undergraduate major, institutions, GRE scores and academic references.

The online Master in Public Financial Management will maintain high standards of admission to assure UK's admission and recruitment policies and decisions for distance learning are equivalent to UK's admission and recruitment standards for traditional degree programs. Students entering the Master in Public Financial Management Program are expected to have at least a 3.0 grade point average (on a 4.0 scale), a cumulative score of 50% or more on the quantitative and verbal sections of the GRE or a minimum score of 50% on the GMAT, and letters of recommendation that provide convincing evidence about the applicant’s ability and potential.

Termination: The Master of Public Financial Management Program Termination student performance policies mimic those of the nationally ranked Master of Public Administration Program and will state that a student may be dismissed from the program for any one of the following reasons:

1. Receiving a grade of "C" for any 9 credit hours or three classes.
2. Receiving a grade of "E" for any 3 credit hours.
3. Twice failing the Final Examination.

Students facing termination will be notified and will have an opportunity to discuss the pending action with the Director of Graduate Studies. Appeals are processed through the Student Affairs Committee. Graduate degrees must normally be completed within eight years of the beginning of graduate study. Extensions require a request on the part of the director of graduate studies and approval by the Dean of the Graduate School.

Time and Flexibility: For working professionals and non-traditional students, an online program provides the flexibility needed to balance work, school, and other obligations. For traditional students, an online program provides an opportunity to seek a Master Degree from a university that may not be available to them by traditional routes. Via the University’s Department of Distance Learning and the Martin School of Public Policy and Administration, students complete assignments and engage with their faculty without the conventional restrictions of a traditional on-campus environment.

Affordability: Students accepted into the online Master of Public Financial Management program pay in-state tuition rates, as required by the University. The online Master program offers in-state and out-of-state students an affordable option for graduate studies. Students are encouraged to pursue any number of financial aid options available to students who meet University requirements.

Faculty: Courses will be taught by faculty with expertise in the areas of public budgeting, debt/cash management, governmental accounting/audit and other topics relevant to public financial management. All faculty and instructors will have backgrounds and expertise in relevant areas of instruction, with some being located at other leading Universities across the country, adding to the diversity of instruction and network opportunities for students.

Administration and Support: Students who attend online classes will receive the same quality instruction as those attending traditional classes. The Martin School of Public Policy and Administration ensures the Master of Public Financial Management online courses will be provided in an up-to-date format with courses lead by top-notch, nationally recognized faculty. Further, comparability of online distance learning programs to campus-based programs and courses is required by University policy to be evaluated based on student learning outcomes (SLO), retention and student satisfaction.

The Master of Public Financial Management program will have a dedicated program Director to oversee daily operations of the program, including program marketing, admissions, curriculum, student support and other administrative duties. In addition, student support and services will be provided by the University's Distance Learning Programs. Online instructional support will be provided to faculty by the University's Department of E-Learning. http://www.uky.edu/elearning.

Format: Students seeking the flexibility of online instruction will experience a combination of self-study and student-faculty interaction over an online learning network. Students will complete weekly assignments, readings, exams and other activities with the same level of rigor and expectations of other traditional Master programs offered by the Martin School of Public Policy and Administration. Students will receive registration and course information by way of the University Distance Learning Program. http://www.uky.edu/DistanceLearning and the Martin School. The Martin School website will provide a dedicated portal for students to access and enroll in courses and other program support.

Curriculum: Classes are offered as 8-week and 4-week sessions during the regular University Fall/Spring/Summer Sessions. The MPFM program consists 36 - hours of credit with 12 Core Classes including a Capstone Course. Two 8-week courses will be offered sequentially in the

Fall/Spring Semesters. Courses will also be offered during the 4-week and 8-week Summer Session. By taking one course as it is offered, the MPFM may be completed in 2 years.

Class Matrix

Fall 8 Week Session 1	Fall 8 Week Session 2	Spring 8 Week Session 1	Spring 8 Week Session 2	Summer 1 4 Week	Summer 2 8 Week
PA 631 Public Financial Management: Budgeting & Debt Management **Core** **3 Hours**	**PA 632 Public Funds Management** **Core** **3 Hours**	**PA 625 Governmental Accounting and Financial Condition Analysis** **Core** **3 Hours**	**PA 626 Applications in Government Accounting and Audit** **Core** **3 Hours**	**PA 694 Public Pensions and Insurance** **Core** **3 Hours**	**PA 695 Data and Revenue Forecasting** **Core** **3 Hours**
PA 683 Tax Policy **Core** **3 Hours**	**PA 627 Governmental Auditing** **Core** **3 Hours**	**PA 633 Municipal Securities** **Core** **3 Hours**	**PA 696 Legal Issues in Public Financial Management** **Core** **3 Hours**	**PA 697 Special Topics: Public Financial Management** **Core** **3 Hours**	**PA 681 Capstone** **Core** **3 Hours**
RED = New Courses **BLUE** = Existing Courses					

Course Descriptions: The following section contains course descriptions for the twelve (12) courses making up the Master of Public Financial Management Program. The new program consists of 5 existing courses and 7 new courses. Syllabi for all courses are included as an Appendix to this Proposal.

PA 631 Public Financial Management: Budgeting/Debt Management (existing course)
An analysis of budget structure and process, revenue structure, administration, public capital acquisition and debt management. This course emphasizes an applied focus and comparative analysis of alternative budget, revenue, and debt management structures and strategies. (Core)

PA 632 Investments/Cash Management (existing course)
A study of the management of public funds including the accumulation and investment of such funds and the accounting for those transactions. It will also include topics such cash forecasting, cash management practices and public funds investment strategies. (Core)

PA 625 Governmental Accounting and Financial Condition Analysis (new course)
The course will examine the characteristics of governmental and nonprofit accounting emphasizing the various fund types and account groups, review and evaluation of presently recommended accounting and financial reporting procedures (GAAP, and an exploration of practical governmental and nonprofit accounting practices and methods. (Core)

PA 626 Applications in Governmental Accounting and Audit (new course)
Gain hands-on experience with case studies designed to simulate real-world scenarios and common problems in today's public sector. This course goes beyond the theory and will demonstrate how to navigate the key issues that arise in governmental and not-for-profit accounting and auditing. (Core)

PA 627 Governmental Auditing (new course)
This course focuses on components of the governmental audit process unique to the public sector. Students will gain an understanding of the *Government Auditing Standards (GAGAS)*, types of audits, the role of audit objectives and audit evidence, the fundamentals of interviewing, the preparation of audit working papers, as well as how to interpret audit findings and elements based on qualitative and quantitative evidence and communicate those findings to non-financial audiences. (CORE)

PA 683 Tax Policy (existing course)
This course will explore various tax policy issues including how and why different levels of government implement and design different types of taxes, concepts of distributive justice, progressivity, tax compliance and enforcement, consumption and income taxes, and tax incentives. (CORE)

PA 633 Municipal Securities (existing course)
An analysis of the theoretical and operational issues associated with the municipal securities industry. Among the issues considered are the factors influencing public debt issuance including infrastructure needs, public authorities, debt capacity, bond ratings and optional debt issuing instruments. Municipal security demand issues are also assessed including market segmentation and fixed income portfolio management issues among others. Technical financial and regulatory issues are also considered.

PA 694 Public Pensions and Insurance (new course)

This course covers basic actuarial principles as they apply to public pensions and insurance. Topics will include the purpose of these systems, the role of the actuary in development of risk classification and pricing assumptions, how actuarial data affect decision making, calculation of product cash flows, reserve methods, and re-insurance. (CORE)

PA 695 <u>Data and Revenue Forecasting in the Public Sector</u> (new course)
This course is covers approaches to forecasting including time series methods, how forecasts are used for policy decision-making, and political influences on forecasting. Students will learn how to interpret and evaluate forecasts with a focus on how to effectively utilize the information generated. (CORE)

PA 696 <u>Legal Issues in Public Financial Management</u> (new course)
This course focuses on the public financial manager’s legal responsibilities with respect to underwriters, borrowers, bondholders, trustees, and other parties in connection with the issuance and holding of tax-exempt bond. Other topics include legal issues related to utility franchises, public/private contracts, governmental mandates, financial cyber security, and taxing authority.

PA 697 <u>Special Topics in Public Financial Management</u> (new course)
This course will focus on timely issues related to public financial management. Course content and subject matter may vary from year to year.

PA 681 <u>Capstone</u> (existing course)
The Capstone provides students with an opportunity to integrate learning from various courses in analysis of real-world issues. The capstone project consists of a project design, action plan, and implementation. Students, under guidance of a faculty member, carry out data collection and analysis, evaluate their findings, and provide conclusions and recommendations.

C. RESOURCE NEEDS AND AVAILABILITY

The Master in Public Financial Management will be delivered online and will be the first online program for the Martin School and its collaborating partner, the Von Allmen School of Accountancy. As a new program, the financial plan involves several steps and includes costs in three general categories:

- Program development costs associated with the design of seven new online courses and redesign/conversion of 5 courses to online format.

- Program operational costs associated with administration, program management, marketing and technical assistance;

- Faculty and staff/graduate assistant compensation costs associated with the online program.

The online 36-hour Master of Public Financial Management will begin in with a target of 20 students. The Program stabilizes in Year 3 with 40 Master students.

Revenue from the Graduate Certificate Program (proposed for approval separately) is expected to support activities related to operation of the Graduate Certificate Program as well as generate revenue to assist with the development and implementation of the 36-hour Master of Public Financial Management Program and thus is considered a critical element in the financial details of the Master of Public Financial Management Program. Because the new program is implemented in phases, the proposed budget for the Master of Public Financial Management and Graduate Certificate Program are interrelated including projected revenue and program startup/operational costs for Year 1, 2 and 3.

To clarify further, the Master of Public Financial Management Program and the Graduate Certificate Program are "interconnected" in that a student may take 4 courses to complete the Certificate Program and receive the Certificate without completing the master's degree. For that reason, the following budget includes revenues and expenses that are associated with both activities.

Budgeted revenues include 1) Graduate Certificate Tuition, 2) Distance Learning Fees as defined by the University and 3) Master Student Tuition. The Martin School will also submit a request for $197,502 to the 2015 E-Learning Innovation Initiative (eLII) to assist with program development start-up costs (e.g., technical course development, instructional design, faculty skill development, marketing, and project management). This revenue is included in Year 1 only. See budget summary for details.

In addition, the University E-Learning program provides $3,000 stipends directly to faculty per new course via the E-Learning + Innovation Design Lab (Faculty Skill Development) RFA to assist with course design, online teaching strategies, faculty training, and development. This last category is considered indirect revenue and not included directly in the proposed budget but will generate up to $36,000 in stipends for the faculty.

The following Budget outlines revenues and expenses for Year 1-3. Items in Year 1 highlighted in **GREEN** include program startup costs associated with the first year's program marketing, administration, faculty course development summer salary and other technical support involved in an online program. These expenses, totaling $197,502 are included in the Martin School's 2015 E-Learning Innovation Initiative (eLII) grant application. In Year 2, the remaining 6 online courses will be developed. Course development expenses are included as "Faculty Course Development" and are based on a median faculty salary of $130,000 and 0.11 FTE summer rate plus benefits at 22%.

Public Financial Management Program

YEAR 1 Certificate Program Begins				
REVENUE	Students	Unit		NOTES
Certificate Tuition Fee[1]	25	$596/credit	$178,800	
Distance Learning Fee[2]	25	$360	$9,000	
E-Learning Innovation Initiative Grant			$197,502	One-time allocation for startup
TOTAL DIRECT REVENUE			**$385,302**	
EXPENSES				
Program Director*			$40,000	
Program Director Benefits*			$8,800	Based on 22%
Teaching Assistant		1	$26,200	Includes Waived Tuition
Marketing/Travel*			$20,000	
Faculty Course Development*		$18,117/class	$108,702	6 classes - based on 0.11 summer median salary $130,000 + benefits
Admin Tech Support*			$20,000	0.50 FTE
Instruction (CERTIFICATE)		$12,500/class	$50,000	4 Courses Average/Course = $12,500
Misc Expenses			$10,000	
TOTAL EXPENSES			**$283,702**	
NET REV/EXP			**$101,600**	**36%**

YEAR 2 Certificate Program Expands and Master Program Begins				
REVENUE	Students	Unit		
Certificate Tuition Fee[1]	50	$596/credit	$357,600	
Distance Learning Fee[2]	50	$360	$18,000	
Master Students Tuition[3, 4]	20	$10,768	$215,360	
TOTAL DIRECT REVENUE			**$590,960**	
EXPENSES				
Program Director[5]			$80,000	
Benefits			$17,600	Based on 22%
Teaching Assistant		3	$78,600	Includes Waived Tuition
Marketing/Travel			$15,000	
Faculty Course Development		$18,117/class	$108,702	
Admin Tech Support			$20,000	0.50 FTE
Instruction (CERTIFICATE-2 sections)		$12,500	$100,000	8 Courses Average/Course = $12,500
Instruction (Master Program)		$12,500	$50,000	4 Courses Average

				/Course = $12,500 Assumes Program Director will be teaching 2 courses.
Misc Expenses			$10,000	
TOTAL EXPENSES			**$479,902**	
NET REV/EXP			**$111,058**	**23%**

YEAR 3 Certificate and Master Program Fully Established				
REVENUE	#Students	Unit		
Certificate Tuition Fee[1]	50	$596/credit	$357,600	
Distance Learning Fee[2]	50	$360	$18,000	
Master Students Tuition [3,4]	40	$10,768	$430,720	target of 20/year
TOTAL REVENUE			**$806,320**	
EXPENSES				
Program Director[5]			$80,000	
Benefits			$17,800	Based on 22%
Teaching Assistant		4	$104,800	Includes Waived Tuition
Marketing/Travel			$15,000	
Admin Support			$20,000	0.50 FTE
Instruction (CERTIFICATE)		$12,500	$100,000	2 Sections of Certificate
Instruction (Master Program)		$12,500	$125,000	10 Courses Average/Course = $12,500 Assumes Program Director will be teaching two courses.
Misc Expenses			$10,000	
TOTAL EXPENSES			**$472,600**	
NET REV/EXP			**$333,720**	**71%**

[1] Online Certificate Tuition based on in-state tuition $596/credit hour

[2] As required by Distance Learning Programs
$10/credit

[3] In-state tuition required for all online programs.

[3]Based on 2015-16 in-state tuition rate of $5,384/semester

[4] Program Director will teach 2 courses annually starting in Year 2

D. **PROGRAM JUSTIFICATION AND OUTCOMES**

1. Meeting a Need

The Master of Public Financial Management (MPFM) is designed to meet the needs of several specific groups of potential students. The major potential student group includes in-service professionals who are in finance, budgeting, accounting or audit positions who desire to enhance their understanding of emerging financial management strategies and policies to enhance their opportunities for career advancement. Another potential student group includes recent graduates who desire to enter the field of public financial management and are seeking rigorous graduate degrees which will prepare and jump start their career opportunities.

In addition to these potential student groups, the MPFM will be attractive to professionals in consulting firms, accounting firms that specialize in governmental and non-profit accounting as well as staff in other private firms that focus on public financial management issues such as rating agencies and municipal security underwriting firms.

The Martin School will be the one of only a few institutions in the county and the only institution in Kentucky to offer a Master of Public Financial Management degree. Although the Master of Public Administration (MPA) has some similarities, the MPFM allows students to gain more rigorous training in public financial management than would be possible under the broad MPA program. Other Kentucky institutions that offer the MPA degree include Western Kentucky University, Northern Kentucky University, the University of Louisville, and Eastern Kentucky University. All of these programs have broad curriculums addressing management as well as public policy. None of these programs require courses such as public sector accounting, auditing, tax policy, municipal securities, public pensions/insurance, forecasting, etc. that serve as core classes within the proposed MPFM program.

2. Accountability

The Master of Public Financial Management is designed to meet the current and expanding national demand for well-trained financial managers for public and non-profit organizations. The Martin School, because of its historical focus on public finance and financial management and national reputation resulting from its 2nd place national ranking in this area by U.S. News and World Report, is particularly suited to initiate a new program to train students with this focus in cooperation with the Von Allmen School of Accountancy

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Courses will be taught by faculty with expertise in the areas of public budgeting, debt/cash management, governmental accounting/audit and other topics relevant to public financial management. All faculty and instructors will have backgrounds and expertise in relevant areas of instruction, with some being located at other leading Universities across the country, adding to the diversity of instruction and network opportunities for students.

3. Recruitment

Martin School faculty and staff currently recruit students using a variety of methods. Faculty and staff visit public and private undergraduate institutions within Kentucky to meet with students and provide them with brochures about the Martin School and its programs. They also contact prospective students by telephone to answer questions. The Martin School also works to recruit students from institutions across the nation. Efforts are primarily focused on sending information about master's and doctoral programs to faculty advisors in political science, economics, and policy programs. Faculty members also indirectly recruit students through their collegial relationships with faculty at other institutions.

The recruitment of non-traditional students is facilitated through the Martin School's regular interactions with public agencies, and nonprofit organizations. The Martin School will interact directly with professional associations such as the Government Finance Officers Association, Association of Governmental Accountants, the National League of Cities, Kentucky Education Association, school districts, and other groups to recruit potential students.

The Martin School also fundamentally values the recruitment of minority students. It shares the University's commitment to offering more minorities with access to graduate education. The first step in providing access is to make sure undergraduate students are made aware of opportunities in public administration. To this end, faculty, staff, and students attend such events as the University of Louisville's Minority Recruitment Day to have personal interactions with students. The second step is to insure that minority students apply for targeted

Fellowships and scholarships. All minority students who request information packets are provided with information about special opportunities funding through the graduate school, including the Commonwealth Incentive Award, a non-competitive source of tuition funds for full- and part-time students.

4. Reporting and Benchmarking

There will be two different kinds of periodic assessment: (1) programmatic assessment and (2) student assessment. For (2) we will use the standard assessment exercise adopted for our existing Masters programs: student learning outcomes measured against specified rubrics . For (1) the Martin School will use student evaluations for individual courses, and schedule periodic program reviews. We will also monitor graduation rates and graduate destinations.

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5. Student Learning Outcomes (SLOs)

The intended student core learning outcomes of the MPFM:

- ✓ Understand the process, structures, and underlying logic of financial administration in the public sector including budgeting and debt management including securities, working with bond counsel, etc.
- ✓ Have knowledge of basic principles in that relate to public budgeting and the budgetary process.
- ✓ Identify differences in revenue processes, revenue sources, revenue forecasting, and budgetary challenges that exist between different levels of government.
- ✓ Identify and understand the politics associated with public budgeting at each stage in the process, among participants, and at various levels of government.
- ✓ Understand stabilization policy, financing the budget and budget deficits
- ✓ Understand the budget cycle, management and organization of budget processes
- ✓ Budget as an instrument of managerial performance and monitoring and evaluation of budget performance
- ✓ Achieve an understanding of money and capital markets.
- ✓ Become knowledgeable of the theory and application of public sector cash and investment management practices.
- ✓ Gain an understanding of the importance of government banking relations.
- ✓ Analyze financial control strategies including the role of accounting, reporting, and auditing functions of the public sector.

- ✓ Analyze the interrelationships of these issues with the overall public sector financial management process.
- ✓ Prepare financial reports for governmental and not-for-profit entities.
- ✓ Prepare financial reports for state and local governments.
- ✓ Properly account for general funds and special revenue funds.
- ✓ Properly account for capital projects funds, debt service funds, internal service funds, enterprise funds, and fiduciary funds.
- ✓ Prepare financial reports for local and state school systems, colleges and universities, and hospitals and other non-profits.
- ✓ Analyze governmental financial performance.

Data will be collected through a variety of ways including University run teacher course evaluations, student/faculty feedback, and surveys. Teacher course evaluations are to provide scores in excess of the College mean on overall value of course and overall value of instructor. This is expected to be first evaluated in Year 2 with improvements in Year 3. Student will provide feedback on the curriculum evaluation and development. In the years leading up to the first graduating class, selected artifacts from courses across the curriculum will be evaluated using rubrics on an annual basis to inform the faculty as they alter and improve the curriculum. Benchmarks relative to portfolios and course artifacts will be based on appropriate faculty consensus and will be developed after the first initial review process.

Data and findings will be shared with appropriate faculty committees who will analyze and report findings to the full program faculty. Assessment data will also be shared with college wide committees. Both will occur on an annual basis.Evaluation data and information will be provided to the faculty Curriculum Committee who will provide input to the program faculty on necessary changes to the curriculum. This will occur annually. In addition to evaluating a specific student's performance on the program theses, these and the included artifacts will also be measured against program learning outcomes. Faculty analysis will focus on areas in the program learning outcomes that are perhaps not reflected or reflected poorly in portfolios.

Measuring teaching effectiveness will take into account student success in the class room, teacher course evaluations. Among other duties, the faculty will provide feedback and assistance in the area of instruction. Faculty will make use of existing University resources (for example CELT – the Center for the Enhancement of Learning and Teaching) as well. Faculty will receive input and assistance from the E-Learning Staff to make improvements in virtual course delivery strategies. Surveys will be conducted with both graduates and employers of graduates. The survey will focus on the student's perceived success as well as include the employer's perspective of how well the employee was when s/he began their career. Surveys of graduating students will occur annually. Surveys of employers will occur every three years.

6. Impact on Kentuckians

The Martin School of Public Policy and Administration is nationally recognized for its academic strengths, outstanding faculty, and a curriculum that combines learning and practice and has for decades been a leader among schools of public policy and administration. The Martin School is currently ranked #2 by U.S. News and World Report in the area of public finance and budgeting among schools of public administration and policy. By adding the Master in Public Financial Management (MPFM) to its existing degree programs, it will provide students another vehicle to achieve higher goals within their chosen profession in the public and non-profit sectors.

The curriculum is specifically designed for new career entrants as well as seasoned professionals desiring career advancements in public financial management. Beyond the traditional topics of public budgeting and finance, the MPFM will emphasize course content oriented towards public sector accounting, audit, and other financial processes unique to the public sector and often omitted from other programs. The MPFM will make students more effective and valuable within the public sector workforce, preparing them for leadership positions - with the added benefit of a convenient online program offered by a nationally recognized University.

Graduates from the MPFM program will be prepared for a life of public service. The skills they develop and the knowledge they acquire will benefit them in their careers and in their civic activities. Many students will choose careers as public financial managers, budget analysts, public accounting, etc. Courses such as public sector accounting, audit, tax policy, and municipal securities will provide students with precise policy analytic tools for evaluating public financial reports, budget documents, public sector audits and more. The MPFM program will ensure that its graduates are fully prepared for their chosen career path through relevant course work and a final research project. The Martin School's MPA program is accredited by the National Association of Schools of Public Affairs and Administration. There are no licensure requirements for graduates of MPFM programs.

7. Impact on Kentucky Communities and Kentucky Economy

The Master of Public Financial Management degree program will enhance Kentucky's communities and economy by giving students the skills and knowledge to advise local and state policymakers and other community leaders on matters of critical importance to the Commonwealth. Graduates from the MPFM program will have valuable insight into the political and economic forces that shape complex policy and financial decisions.

E. **IMPLEMENTATION PLANS**

The Master in Public Financial Management will enhance Kentucky's academic reputation by attracting high quality, highly motivated students. The program will offer select students a rigorous program of topical content. The Admissions Committee will review each file in an applicant's dossier to admit academically strong applicants that show the greatest potential for completing the program and succeeding in a career. Academic qualifications are accessed based on grade point average, undergraduate major, institutions, GRE scores and academic references.

The Martin School is a nationally-ranked, competitive program. The Admissions Committee reviews each file in an applicant's dossier in order to admit academically strong applicants that show the greatest potential for completing the program and succeeding in a career. Academic qualifications are accessed based on grade point average, undergraduate major, institutions, GRE scores and academic references.

The online Master in Public Financial Management will maintain high standards of admission to assure UK's admission and recruitment policies and decisions for distance learning are equivalent to UK's admission and recruitment standards for traditional degree programs. Students entering the Master in Public Financial Management Program are expected to have at least a 3.0 grade point average (on a 4.0 scale), a cumulative score of 50% or more on the quantitative and verbal sections of the GRE or a minimum score of 50% on the GMAT, and letters of recommendation that provide convincing evidence about the applicant's ability and potential.

For working professionals and non-traditional students, online programs provide the flexibility needed to balance work, school, and other obligations. For traditional students, online programs provide opportunities that may not be available to them by traditional routes. Students complete assignments and engage with their without the conventional restrictions of a traditional on-campus environment. The online Master program offers in-state and out-of-state students an affordable option for graduate studies. Students are encouraged to pursue any number of financial aid options available to students who meet University requirements.

The 36-hour online Master of Public Financial Management (MPFM) will offer rigorous academic and practical training for traditional students seeking an advanced degree as well as those currently working within the area of governmental finance and accounting and non-profit organizations. The MPFM builds upon strong foundations in finance and accounting including advanced topics in areas specific to public financial management including government accounting, auditing, securities, pensions/insurance, forecasting and other subjects.

The Master of Public Financial Management Program Termination student performance policies mimic those of the nationally ranked Master of Public Administration Program and will state that a student may be dismissed from the program for any one of the following reasons:

1. Receiving a grade of "C" for any 9 credit hours or three classes.
2. Receiving a grade of "E" for any 3 credit hours.
3. Twice failing the Final Examination.

Students facing termination will be notified and will have an opportunity to discuss the pending action with the Director of Graduate Studies. Appeals are processed through the Student Affairs Committee. Graduate degrees must normally be completed within eight years of the beginning of graduate study. Extensions require a request on the part of the director of graduate studies and approval by the Dean of the Graduate School.

Students who attend online classes will receive the same quality instruction as those attending traditional classes. The Martin School of Public Policy and Administration ensures the Master of Public Financial Management online courses will be provided in an up-to-date format with courses lead by top-notch, nationally recognized faculty. Further, comparability of online distance learning programs to campus-based programs and courses is required by University policy to be evaluated based on student learning outcomes (SLO), retention and student satisfaction.

The Master of Public Financial Management program will have a dedicated program Director to oversee daily operations of the program, including program marketing, admissions, curriculum, student support and other administrative duties. In addition, student support and services will be provided by the University's Distance Learning Programs. Online instructional support will be provided to faculty by the University's Department of E-Learning. http://www.uky.edu/elearning.

The Martin School's Board of Visitors supports the creation of the new program. Current list of Board of Visitors:

BOARD OF VISITORS
Chair: Bradford Cowgill

Michael T. Childress
Former Director, KY Long Term Policy Research Center
Professor, Department of Economics
Gatton College of Business and Economics
University of Kentucky
Lexington, KY 40506
Phone: 859-257-2912
Email: michael.childress@uky.edu

Martha Layne Collins
Former Governor of KY
921 Taborlake Court
Lexington, KY 40502
Phone: 859-269-6903
Cell: 859-967-8504
Email: mlcollins@ymail.com

Bradford L. Cowgill
Former State Budget Director
783 Chinoe Road
Lexington, KY 40502
Smart Claim, President
209 E. High Street
Lexington, KY 40507
Office: 859-533.3732
Email: bradfordlcowgill@gmail.com

Dave Duttlinger
Director
Department of Community and Economic Development
Alum, Bluegrass ADD
1433 Glenview Drive
Lexington, KY 40514
Email: dduttlinger@bgadd.org

Bill Farmer
President
United Way of the Bluegrass
2480 Fortune Drive #250
Lexington, KY 40509
Phone: 859-233-4461 ext. 210
Email: bill.farmer@uwbg.org

Don Fowler
Former Chair, Democratic National Committee
2725 Devine Street
Columbia, SC 29205
Phone: 803-799-7550
Fax: 803-771-7442
Email: don@fowlercommunications.com

Linda Gorton
Former Vice Mayor
LFUCG
605 Beechmont Rd.
Lexington, KY 40503-2836
Phone: 859-492-1745
Email: lgorton2@gmail.com

Jim Gray
Mayor LFUCG
200 E. Main Street
Lexington, KY 40507
Office: 859-258-3100
Email: mayor@lexingtonky.gov

John Hicks
Deputy State Budget Director
702 Capital Avenue Room 284
Frankfort, KY 40601
Phone: 502-564-7300
Fax: 502-564-6684
Email: john.hicks@ky.gov

Ian Koffler
Attorney and Counselor
Miller, Canfield, Paddock and Stone, PLC
One Michigan Ave., Suite 900
Lansing, MI 48933
Phone: (616) 690-6945
Email: Koffler@millercanfield.com

Pam Miller
Former Mayor of Lexington
Currently Chair Kentucky Council of Postsecondary Education
140 Cherokee Park
Lexington, KY 40503

Phone: 859-277-0930
Email: pam7miller@gmail.com

Jim Newberry
Former Mayor of Lexington
Email: jhnlex@gmail.com

Harold Rogers
Member of U.S. Congress
2406 Rayburn House Office Building
Washington, DC 20515
Phone: 202-225-4601
601 Main Street
Hazard, KY 41701
Phone: 606-439-0794
Email: bob.mitchell@mail.house.gov

Mike Ruehling
Former VP-Federal Affairs
CSX Corporation
P.O. Box 595
Naples, FL 34106
Cell: 202-821-2465
Email: ruehling613@aol.com

Daniel M. Sprague
Former Executive Director
Council of State Gov. CEO
3641 Burning Tree Lane
Lexington, KY 40509
Phone: 859-396-6594
Fax: 859-268-0690
Email: dms1850@aol.com

Jonathan Steiner
Kentucky League of Cities
Executive Director/CEO
100 East Vine Street Suite 800
Lexington, KY 40507
Phone: 859-977-3700
Fax: 859-977-3703
Email: jsteiner@klc.org

Harvie Wilkinson
Former V.P. Keeneland Association
MBA Director University of Kentucky
1186 Indian Mound Road
Lexington, KY 40502
Phone: 859-269-9877
Cell: 859-221-2527
Email: harviewilkinson@uky.edu

Bob Wiseman
V.P Facilities Management
University of Kentucky
512 Mill Street
Lexington, KY 40508
Phone: 859-271-5230
Email: Bobwiseman.lexington@gmail.com

UNIVERSITY OF KENTUCKY

Graduate School
101 Gillis Building
Lexington, KY 40506-0033

www.uky.edu

September 3, 2015

Jennifer D. Edwards, eLII Grant Program Manager
IT Planning, Administrative & Finance Group
CAMPUS 0495

Dear Jennifer:

I am pleased to submit this letter in strong support of the Martin School's eLearning Innovation Initiative (eLII) grant application. This application brings to fruition a project that the Martin School faculty has been closely engaged in planning for several years, to address a statewide and market need for an on-line and flexible Masters of Public Financial Management program.

The Martin School faculty has a long record of excellence in academic planning, as evidenced by their prominent national rankings (#2 in the US in Public Finance & Budgeting, US News) as well as the extensive publications and external-funding success across the School. This work has placed the Martin School at the forefront of statewide, national and global conversations about public policy, and has positioned them well to address this market need for "well-trained financial managers for public and non-profit organizations."

The careful research that is part of their academic ethos has also been part of this degree planning, through retreats, market scans, attention to the specifics of online pedagogy, and close consideration of how to develop the degree program and to build cross-listed courses where useful. Following national trends of "stackable credentials," this program will also include a certificate option, to address professional-development needs of public policy officials around the world. The classes will be offered in 8-week and 4-week sessions, to accommodate the needs of a broad professional community that will benefit from this program.

The pre-proposal has already been submitted to the CPE, and the degree program will work its way through the Graduate Council and Senate this semester. The support of the eLII funding will allow them to launch this program at a level that matches their existing record of excellence, and that draws national attention.

I hope the eLII program will be able to support the development of this new program, which promises to draw not only national but global professionals; I think this investment will yield significant dividends for UK.

Please don't hesitate to contact me if I can be of further service.

Sincerely,

Susan Carvalho
Interim Associate Provost and Dean
Graduate School

UK UNIVERSITY OF KENTUCKY

150 YEARS 1865 - 2015

Martin School of Public Policy
and Administration
415 Patterson Office Tower
Lexington, KY 40506-0027
859 257-5741
fax 859 323-1937
www.martin.uky.edu

August 20, 2015

Jennifer D. Edwards, MPH, PMP
Grant Program Manager

Dear Jennifer Edwards,

As a faculty member at the Martin School of Public Policy & Administration with expertise in the economics of taxation and tax policy, I encourage you to approve the program development and implementation funding request for the Martin School's proposed program in Public Financial Management. Tax policy is an important part of state and local finances, and the Martin School of Public Policy has a particular strength in the study of public finance and a long tradition of strength in this area. This strength makes the Martin School uniquely situated to offer a Masters of Public Financial Management to serve in-service students with the proposed on-line program.

Thank you for considering our application for funding to support the implementation of this important program.

Best,

David R. Agrawal

Assistant Professor of Public Policy and Assistant Professor of Economics

Gatton
COLLEGE OF BUSINESS & ECONOMICS
UNIVERSITY OF KENTUCKY

UK
UNIVERSITY OF KENTUCKY

September 3, 2015
Jennifer D. Edwards
eLLI Grant Program Manager

Dear Ms. Edwards:

This letter is in support of the Martin School of Public Policy & Administration's request for implementation support for its proposed Masters of Public Financial Management. The Von Allmen School of Accountancy enthusuatucally supposts the proposed Masters program and has agreed to work to develop three new courses for the program: PA 625 Governmental Accounting and Financial Condition Analysis, PA 627 Governmental Audit, and PA 626 Applications in Governmental Accounting and Audit.

We believe the proposed program offers the University of Kentucky to establish itself as a leader in the field of government financial management. From an accounting perspective there is a tremendous demand for people trained in governmental accounting and finance. While the main purpose of the three courses we propose to develop will be for the Masters of Public Financial Managmenet, they will also be of use in explanding the elective offerings in our current Masters of Science in Accounting.

I agree with the proposal's assessment of the need for such a program. As Professor Hackbart notes in his letter of support – there is a tremedous need for trained accounting and financial personnel at all levels of government. Governmental accounting and auditing is significantly different from accounting and auditing in the non-governmental sector, with its own set of accounting and auditing standards. The needs for additional training to face the complexity of the governmental setting is evident from the most states' CPA laws requiring a singificant portion of the CPA's continuing ediucation hours to be in governmental accoutning and auditing if they work on governmental clients. Further in the case of intneral auditng, the Institute of Internal Auditor's has developed a specialized certification (the CGAP) for internal auditors workling in governmental settings and created a new center for Governmental Auditing Excellence.

We at the Von Allmen School believe the The Martin School is well position to offer this new on-line degree. The Martin School has a national reputation for its graduate degrees so that the program should be able to draw from across the US and should be able to operate a size sufficent to generate the finacial resources to be sustainable on a longterm basis. It also has a competitive advantgage as I am not aware of other programs in accoutning or in public administration which offers this financial management focus.

If you have any additional questions, please call me at (859) 551-5308 or contact me via e-mail at urton.anderson@uky.edu. I will be very happy to provide any additional information I can.

Urton Anderson
Director and EY Professor of Accounting
Von Allmen School of Accountancy

September 2, 2015

Jennifer D. Edwards
eLLI Grant Program Manager

Re: Proposed Masters of Public Financial Management

Dear Ms. Edwards:

This letter is in support of the Martin School of Public Policy & Administration's request for implementation support for its proposed Masters of Public Financial Management. The Martin School faculty unanimously supports the proposed program and views it an on-line degree which has great potential. To our knowledge, there is no competitor degree offered by our peer Colleges and Schools and there is a great need for an on-line program of this type to serve a national market.

In earlier conversations with the Executive Director of the Association of Governmental Accountants (which has a membership approaching 18,000), the Director indicated that there is a need for a degree of this nature given the large number of in-service finance and budget staff of state and local governments in addition to the demand for such a degree by federal employees. Moreover, , the Governmetn Finance Officers Association (GFOA) has a similar membership composed of finance officers in government, education and nonprofit organizations. In Kentucky, there is a similar need. Kentucky state government and education organizations employ many individuals who have finance and budgetary responsibilities and would benefit from pursuing a MPFM degree.

In designing the degree, the Martin School decided to also offer a Certificate of Public Financial Management as part of the new degree proposal. Students will be able to enroll in a 12 hour certificate progarm as a first step toward pursuing the full masters degree. Students can apply for either the full 36 hour program or the 12 hour certificate program. Certificate program graduates can apply for admission for the Masters of Public Financail Management degree after completing the certificate program if they decide to do so.

The Martin School is uniquely qualified to offer this new on-line degree. The Martin School's MPA degree is ranked among the top 20 such programs, nationally, by U.S. News & World Report and its' Public Finance and Budgeting MPA specialization is ranked number 2 in the nation by U.S. News. The Martin School's national ranking and reputation for its excellent budgeting and finance faculty and focus will help insure that the Martin School's new masters and certificate progarms will attract students from around the country and, potentially, internationally.

I apprecaite your consideration of this application for program start-up support. If there is any additonal information you would like, please let me know.

Sincererly.

Merl Hackbart
Interim Director
Martin School of Public Policy & Administration

Merl Hackbart | Interim Director, Martin School of Public Policy and Administration and Professor of Finance| 423 Patterson Office Tower | University of Kentucky | Lexington, KY 40506 | 859-257-1627 | m.hackbart@uky.edu

MARTIN
School of Public Policy & Administration

August 17, 2015

To whom it may concern:

I am an associate professor in the Martin School of Public Policy & Administration. As a member of our core faculty who would also participate in delivering the proposed Master of Public Financial Management, I would like to express my wholehearted support for the new program.

Our new program will serve a fundamental need for budget administrators of high skill and integrity. In an age of tight public finances and, across the globe, citizen concerns about the proper usage of their taxes, our program will impart a fundamental understanding of all aspects of the budgetary process and tangible skills related to effectiveness, efficiency, and probity in the handling of citizens' contributions. Delivering the program online will help us reach midcareer professionals in those locations that most need more skill and ethics in the handling of their public finances.

An essential part of the new program will be the Capstone, which all students will write in the final stage of their studies with us. A Capstone is a practical analysis paper of typically about 25 pages, in which each student analyzes a relevant policy or management problem and then, based on their analysis and the knowledge gained in their studies, makes realistic recommendations to alleviate the problem. We have been doing Capstones in the Martin School's Master's programs since 1996. As such, we know what separates feasible from infeasible Capstone topics, and where the main hurdles lie: in the selection of a feasible topic, the development of an appropriate research design, and the writing of a clear and concise document. To tackle these main hurdles for Capstones in the proposed new program, we will require all students to select a problem from within public financial management and from within a jurisdiction of which they have a good understanding. We will work with them to obtain and prepare relevant quantitative data and other evidence. And we will guide them with the writing, also drawing on the UK Writing Center's online document review service.

I sincerely hope that you will support the approval of our proposed program. It will make a small but tangible improvement to how the public's money is handled, in places where this is most necessary.

Yours sincerely,

Nicolai Petrovsky

Nicolai Petrovsky, Ph.D. | Martin School of Public Policy and Administration| 435 Patterson Office Tower | University of Kentucky | Lexington, KY 40506 | 859-257-2857 | nicolai.petrovsky@uky.edu

August 20, 2015

Jennifer Edwards
eLii Grants Manager
Office of Project Management
Analytics & Technologies

RE: Martin School of Public Policy and Administration Grant Application

Ms. Edwards,

I am currently assisting the Martin School of Public Policy and Administration with the development of a new Masters of Public Financial Management program, to be offered 100% online. As some background of how and why I am involved with this project, in 1991 I received my Ph.D. from the Martin School. I taught at the University of Arizona's School of Public Administration and during that time, had some experience teaching online courses. I have also served as mayor and worked closely with the Kentucky League of Cities and other governmental agencies in various capacities. My academic background and other experience has given me some insight about the role of online education with the university setting. I have served as adjunct professor for the Martin School in the past and as the new master's program develops, I will be teaching in the program.

The Martin School is ranked #4 by the Network of Schools of Public Policy and Administration (NASPAA) in public finance and currently offers a Master of Public Administration and a Master of Public Policy. The Martin School has perceived an unmet need for rigorous public financial management, and analytic methodology to answer and analyze complex financial issues in the public sector. The need for enhanced training and professional financial management degree programs has also been recognized by national association's including the Association of Governmental Accountants and the Government Financial Officer's Association. The Martin School seeks to help meet this need by providing a Master of Public Financial Management (MPFM) degree program.

As I have worked to develop the program, I have researched other similar programs and found that in comparison, this new master's program will offer a unique and much needed emphasis public finance and public accounting lacking in other programs. The program is designed for students entering the world of public finance as well as providing an accessible and flexible option for those already working in the field who desire more education.

This will be the first online program offered by the Martin School and we believe it will be positively received by not only students from within Kentucky but national wide and even internationally. The Martin School will maintain the same high-level standards for admission and plans to keep class size small to allow for the same high quality experience for the students as compared to those students within our traditional masters programs.

The new Masters program is designed to be self sustaining beyond the life of the grant funds. Specifically, the grant funds will be used to supplement the costs of developing the online courses in Year 1 of the program. A 12-hour professional certificate program is also included within the proposal. The certificate program will provide revenue to help sustain the Master's program. In addition, the Martin School is committed to funding the program as necessary to create and maintain a nationally recognized, top-rated online program.

We respectively ask for your support of the new program as the funds from the eLii Grant will help assure the program is implemented in the most effective and efficient way.

Sincerely,

Rhonda Riherd Trautman, Ph.D.
Program Development Consultant

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Martin School of Public Policy
and Administration
415 Patterson Office Tower
Lexington, KY 40506-0027
859 257-5741
fax 859 323-1937
www.martin.uky.edu

Jennifer Edwards
eLII Grants Manager
Campus

August 17, 2015

Dear Ms. Edwards:

I am writing in support of the Martin School's new online degree proposal in public financial management. I am an economist specializing in public finance and expect to be involved in the delivery of this degree. It is a unique degree but one that I think will be met with interest because of the increasing demands for financial management expertise in the public sector.

Please contact me if I can provide additional means of support or additional information. This proposal has my complete support.

Sincerely,

Eugenia F. Toma

Eugenia F. Toma
Wendell H. Ford Professor of Public Policy

Martin School Faculty Meeting Minutes

Re: Establishment of MPFM Program

1. Meeting Date: May 12th, 2015 (Spring Retreat)

Excerpt:

New Program Proposals

Rhonda Trautman presented her proposal for two new programs for the Martin School (presentation attached):

- *Certificate in Public Financial Management*
- *New Masters in Public Financial Management*

These programs would be online and focused on government employees. There is potentially a large market for the 12 hour/4 course certificate which could be completed in two semesters.

A program coordinator would manage both programs. UK's Distance Learning Program would support students.

The details on how a student is tested are still in the works.

Upon the conclusion of Rhonda's presentation, the faculty members present took a consensus vote at which time approval was given to move forward with the new Master's and Certificate programs in Public Financial Management.

2. Meeting Date : May 21st, 2014 (Spring Retreat)

Excerpt:

Online—nonprofit, financial management (30-33 hour strictly online) new degree. We can utilize many of graduates who are already teaching online.

Genia says we need to move ahead b/c otherwise we'll be behind. Merl agrees. We need to decide to do it. Ed agrees. Ed feels that Martin School slow to respond. World is different. All of our competitive programs doing online (totally, blended). SPEA, UNC, everyone moving in that direction. Students different, expect convenience. MPA (not Ph.D). Ed agrees with new degrees b/c consistent with new specialized degrees. Ed likes online financial management given what we're known for. Ed votes to move ahead, Genia seconds, Consensus vote to move ahead.

Brothers, Sheila C

From: Schroeder, Margaret <m.mohr@uky.edu>
Sent: Wednesday, February 17, 2016 10:06 AM
To: Brothers, Sheila C; Hippisley, Andrew R; Ellis, Janie
Subject: Proposed New GC: Public Financial Management
Attachments: Graduate Certificate PFM FINAL .pdf

This is a recommendation that the University Senate approve the establishment of a new Graduate Certificate: Public Financial Management , in the Martin School of Public Policy and Administration within the Graduate School.

Please find the revised proposal attached.

Best-

Margaret

Margaret J. Mohr-Schroeder, PhD | Associate Professor of STEM Education | COE Faculty Council Chair | SAPC University Senate Committee Chair | University Senator | Secondary Mathematics Program Co-Chair | STEM PLUS Program Co-Chair | Department of STEM Education | University of Kentucky | www.margaretmohrschroeder.com

RECEIVED

OCT 07 2015

OFFICE OF THE SENATE COUNCIL

Graduate Certificate NEW ~~MASTERS DEGREE~~ PROGRAM FORM

(Attach completed "Application to Classify Proposed Program"[1])

GENERAL INFORMATION

College:	Graduate School	Department:	Martin School of Public Policy and Administration
Major Name:	Graduate Certificate in Public Financial Management	Degree Title:	NA
Formal Option(s):	NA	Specialty Fields w/in Formal Option:	NA

Date of Contact with Associate Provost for Academic Administration[1]: NA

Bulletin (yr & pgs): | CIP Code[1]: 44.0501 | Today's Date: 7.28.15

Accrediting Agency (if applicable): NA

Requested Effective Date: ☐ Semester following approval. OR ☒ Specific Date[2]: August 2016

Dept. Contact Person: Merl Hackbart | Phone: 859-257-1627 | Email: m.hackbart@uky.edu

CHANGE(S) IN PROGRAM REQUIREMENTS

1.	Number of transfer credits allowed (Maximum is Graduate School limit of 9 hours or 25% of course work)	0
2.	Residence requirement (if applicable)	NO
3.	Language(s) and/or skill(s) required	NO
4.	Termination criteria	YES
5.	Plan A Degree Plan requirements[3] (thesis)	NO
6.	Plan B Degree Plan requirements[3] (non-thesis)	NO
7.	Distribution of course levels required (At least one-half must be at 600+ level & two-thirds must be in organized courses.)	600
8.	Required courses (if applicable)	12
9.	Required distribution of courses within program (if applicable)	12
10.	Final examination requirements	NO
11.	Explain whether the proposed new program (as described in numbers 1 through 10) involve courses offered by another department/program. Routing Signature Log must include approval by faculty of additional department(s). NO	

[1] Prior to filling out this form, you MUST contact the Associate Provost for Academic Administration (APAA). If you do not know the CIP code, the APAA can provide you with that during the contact.

[2] Programs are typically made effective for the semester following approval. No changes will be made effective until all approvals are received.

[3] If there is only one plan for the degree, plans involving a thesis (or the equivalent in studio work, etc.) should be discussed under Plan A and those not involving a thesis should be discussed under Plan B.

Rev 8/09

12. What is the rationale for the proposed new program?

There are few public administration schools in the country providing nationally recognized concentrations in public financial management (the Martin School at the University of Kentucky, the Maxwell School at Syracuse, the University Indiana or to a lesser degree the University of Georgia or the University of Nebraska at Omaha) and few schools provide graduate programs specifically focused on training financial managers for mid-level or senior positions in public and non-profit organizations. The need for enhanced training and professional financial management degree programs has been recognized by national association's including the Association of Governmental Accountants and the Government Financial Officer's Association.

The 12-hour online certificate program will offer rigorous academic and practical training for traditional students seeking an advanced degree as well as those currently working within the area of governmental finance and accounting and non-profit organizations. The MPFM builds upon strong foundations in finance and accounting including advanced topics in areas specific to public financial management.

NEW MASTERS DEGREE PROGRAM FORM

Signature Routing Log

General Information:

Program Name: Graduate Certifcate in Public Financial Management

Proposal Contact Person Name: Merl Hackbart Phone: 859-257-1627 Email: m.hackbart@uky.edu

INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
Martin School Faculty	May 12th, 2015	Merl Hackbart / 859-257-1625 / m.hackbart@uky.edu	
Graduate Council	Sept 3, 2015	BRIAN A JACKSON, 7.7124	
Faculty Senate Council		/ /	
University Senate		/ /	
		/ /	

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision[4]
Undergraduate Council	NA		
Graduate Council	9/3/15	Roshan Nikou	
Health Care Colleges Council	NA		
Senate Council Approval		University Senate Approval	

Comments:

[4] Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.

Rev 8/09

PROPOSAL
Graduate Certificate in Public Financial Management

Submitted by
James P. Martin School of Public Policy and Administration

A. **ABSTRACT**

The Graduate Certificate in Public Financial Management is designed to meet the current and expanding national demand for well-trained financial managers for public and non-profit organizations. The Martin School, because of its historical focus on public finance and financial management and national reputation resulting from its 2nd place national ranking in this area by U.S. News and World Report, is particularly suited to initiate a new program to train students with this focus in cooperation with the Von Allmen School of Accountancy

Governments at all levels as well as non-profit organizations are facing multiple challenges as they attempt to efficiently and effectively manage their finances and initiate new programs that are financially sustainable. Their efforts are made more difficult by their inability to find and attract well-trained financial management graduates who are interested in pursuing careers as financial managers or by their ability to find seasoned professionals prepared to accept the responsibilities associated with senior finance positions in their organizations. The public administration schools and departments have been slow to provide the targeted training and skill sets needed by mid-career professionals or by new graduates desiring a career in public financial management. The Martin School has perceived an unmet need for rigorous public financial management, and analytic methodology to answer and analyze complex financial issues in the public sector.

The Graduate Certificate in Public Financial Management program will prepare students for advanced-careers in public financial management and analysis and will be offered completely online, allowing for non-traditional students and the flexibility of online coursework. This program, a first for the Martin School, will be attractive to students desiring only an introduction of class offerings in public financial management.

The proposed online 12-hour Graduate Certificate Program in Public Financial Management fills an additional niche as an alternative for those who are not interested in seeking a full Master's program. Benefits, requirements, and elements of the Certificate are outlined elsewhere in the proposal.

There are few public administration schools in the country providing nationally recognized concentrations in public financial management (the Martin School at the University of Kentucky, the Maxwell School at Syracuse, the University Indiana or to a lesser degree the University of Georgia or the University of Nebraska at Omaha) and few schools provide graduate programs specifically focused on training financial managers for mid-level or senior positions in public and non-profit organizations. The need for enhanced training and professional financial management degree programs has been recognized by national association's including the Association of Governmental Accountants and the Government Financial Officer's Association.

B. PROGRAM DESCRIPTION

The 12-hour Graduate Certificate Program will offer rigorous academic and practical training for traditional students seeking an advanced degree as well as those currently working within the area of governmental finance and accounting and non-profit organizations. It builds upon strong foundations in finance and accounting including advanced topics in areas specific to public financial management.

The following section outlines specific elements related to the Graduate Certificate Program which is designed to meet the Graduate School policy and requirements for the establishment and operation of a Graduate Certificate Program with sections including Certificate Curriculum, Certificate Associates/Affiliates, and Certificate Director adapted directly from requirements outlined by the Graduate School.

Faculty of Record: The following page lists three senior faculty members who have agreed to serve as faculty of record for the proposed Graduate Certificate in Public Financial Management. Beyond those listed, future faculty will be selected one of two ways: from the graduate faculty of the supporting departments (Martin School of Public Policy and Administration and the Von Allmen School of Accountancy) or through a hiring process which will screen applicants for appropriate credentials. If visiting or other faculty are selected to serve as course instructors, the Martin School will approve only those instructors with appropriate credentials to qualify as temporary appointments to the UK Graduate Faculty and/or to meet AQ status as reported to our accrediting body NASPAA and SACS. If a faculty of record was to become ineligible for any reason, the position could be filled temporarily or permanently by the graduate faculty of the departments or selected through the aforementioned process.

- **Dr. Merl Hackbart, Interim Director**
  Martin School of Public Policy and Administration
  University of Kentucky
  859-257-1627, m.hackbart@uky.edu

I, Merl Hackbart, plan to serve as a faculty member and instructor as part of the new online Master's in Public Financial Management degree program. As an instructor, I have offered my support for the program and will be teaching courses in my area of expertise—public financial management.

Signature: [signature] Date: 1/29/16

- **Dr. Dwight Denison, Professor of Public & Nonprofit Finance**
  Martin School of Public Policy and Administration
  University of Kentucky
  859-257-5742, dwight.denison@uky.edu

I, Dwight Denison, plan to serve as a faculty member and instructor as part of the new online Master's in Public Financial Management degree program. As an instructor, I have offered my support for the program and will be teaching courses in my area of expertise—public financial management.

Signature: Dwight Denison Date: 1-29-16

- **Dr. Eugenia Toma, Wendell H. Ford Professor of Public Policy**
  Martin School of Public Policy and Administration
  University of Kentucky
  859-257-1156, eugenia.toma@uky.edu

I, Eugenia Toma, plan to serve as a faculty member and instructor as part of the new online Master's in Public Financial Management degree program. As an instructor, I have offered my support for the program and will be teaching courses in my area of expertise—public financial management.

Signature: Eugenia Toma Date: 1-29-16

Certificate Director: The Certificate Director position has not been finalized. Until then, Dr. Merl Hackbart is considered the Certificate Director for the Graduate Certificate in Public Financial Management.

Certificate Curriculum: Classes are offered as 8-week and 4-week sessions during the regular University Fall/Spring Sessions. The Graduate Certificate Program consists 12 - hours of credit with two 8-week courses will be offered sequentially in the Fall/Spring Semesters. Persons interested in an introduction or review of coursework in Public Financial Management without investing in a full Master Program may apply to the online Graduate Certificate Program which includes 4 mandatory courses (PA 631, PA 632, PA 625, and PA 626) or a total of 12-hours of online coursework. The length of the Graduate Certificate Program curriculum provides minimum core content, yet it is clearly distinguishable from a degree program. The courses will be offered annually allowing students to complete the certificate in two semesters. The Graduate Certificate Program in Public Financial Management has a clear and focused academic goal and it meets the need of a constituency group by providing basic competency in the field of public financial management. The need for educational opportunities in this area has been noted by professional associations such as the Government Finance Officers Association. The Graduate Certificate Program is designed to provide those with an interest in improving their work performance and those needing a familiarization with the aspects of public financial management. The Certificate is also a way for employers in the public sector to add value and professional development training for their employees.

Class Matrix

Fall 8 Week Session 1	Fall 8 Week Session 2	Spring 8 Week Session 1	Spring 8 Week Session 2
PA 631 **Public Financial Management: Budgeting & Debt Management** **Certificate** **3 Hours**	**PA 632** **Public Funds Management** **Certificate** **3 Hours**	**PA 625** **Governmental Accounting and Financial Condition Analysis** **Certificate** **3 Hours**	**PA 626** **Applications in Government Accounting and Audit** **Certificate** **3 Hours**
RED = New Courses **BLUE** = Existing Courses			

Course Descriptions: The following section contains course descriptions for the twelve credit hours courses making up the Graduate Certificate Program.

PA 631 Public Financial Management: Budgeting/Debt Management (existing course)
An analysis of budget structure and process, revenue structure, administration, public capital acquisition and debt management. This course emphasizes an applied focus and comparative analysis of alternative budget, revenue, and debt management structures and strategies. (Certificate/Core)

PA 632 Investments/Cash Management (existing course)
A study of the management of public funds including the accumulation and investment of such funds and the accounting for those transactions. It will also include topics such cash forecasting, cash management practices and public funds investment strategies. (Certificate/Core)

PA 625 Governmental Accounting and Financial Condition Analysis (new course)
The course will examine the characteristics of governmental and nonprofit accounting emphasizing the various fund types and account groups, review and evaluation of presently recommended accounting and financial reporting procedures (GAAP, and an exploration of practical governmental and nonprofit accounting practices and methods. (Certificate/Core)

PA 626 Applications in Governmental Accounting and Audit (new course)
Gain hands-on experience with case studies designed to simulate real-world scenarios and common problems in today's public sector. This course goes beyond the theory and will demonstrate how to navigate the key issues that arise in governmental and not-for-profit accounting and auditing. (Certificate/Core)

Admission and Other Requirements: The online Graduate Certificate Program will maintain high standards of admission to assure UK's admission and recruitment policies and decisions for distance learning are equivalent to UK's admission and recruitment standards for traditional degree programs. Students entering the program are expected to have at least a 3.0 grade point average (on a 4.0 scale), a cumulative score of 50% or more on the quantitative and verbal sections of the GRE or a minimum score of 50% on the GMAT, and letters of recommendation that provide convincing evidence about the applicant’s ability and potential.

Applicants to the Graduate Certificate in Public Financial Management must be approved for admission by the Certificate Director, who shall notify the Graduate School of the student’s admission. Although formal admission to a Public Financial Management Graduate Certificate is handled by the Director of the Graduate Certificate Program at the Martin School, a student seeking to pursue a Graduate Certificate must also apply to and meet all requirements of the Graduate School, and be enrolled as a graduate student at the University of Kentucky.

Upon admission to the Graduate Certificate Program, students will take four (4) 8-week sequential classes starting in the Fall. Students in Graduate Certificate Program are encouraged to complete the 4 courses within a calendar year during the Fall/Spring semesters. Students must have at least a cumulative 3.0 GPA in Certificate Coursework upon completion to be awarded a Certificate from the Martin School. Courses included in the Graduate Certificate Program are noted as “Certificate” courses in the Class Matrix included elsewhere in this proposal.

Upon completion of the Graduate Certificate Program, students may transfer the coursework to other post-secondary institutions or 12 hours of credit may be applied towards fulfillment of the 36-hour Master in Public Financial Management Program, upon achieving full admission to the Master in Public Financial Management Program. Admission to or completion of a Graduate Certificate does not guarantee subsequent admission to a graduate degree program.

Termination: Student performance policies mimic those of the nationally ranked Master of Public Administration Program and will state that a student may be dismissed from the program for any one of the following reasons:

1. Receiving a grade of "C" for any 9 credit hours or three classes.
2. Receiving a grade of "E" for any 3 credit hours.
3. Twice failing the Final Examination.

Students facing termination will be notified and will have an opportunity to discuss the pending action with the Director of Graduate Studies. Appeals are processed through the Student Affairs Committee.

Time and Flexibility: For working professionals and non-traditional students, an online program provides the flexibility needed to balance work, school, and other obligations. For traditional students, an online program provides an opportunity to seeking certification from a university that may not be available to them by traditional routes. Via the University's Department of Distance Learning and the Martin School of Public Policy and Administration, students complete assignments and engage with their faculty without the conventional restrictions of a traditional on-campus environment.

Affordability: Students accepted into the online Graduate Certificate Program pay in-state tuition rates, as required by the University. The online program offers in-state and out-of-state students an affordable option for graduate studies. Students are encouraged to pursue any number of financial aid options available to students who meet University requirements.

Faculty, Graduate Certificate Associates or Affiliates: The Graduate Certificate Program in Public Financial Management will be taught by highly recognized faculty. At all times as required by the Graduate School, a minimum of three of these Associates shall be members of the Graduate Faculty. Courses will be taught by faculty with expertise in the areas of public budgeting, debt/cash management, governmental accounting/audit and other topics relevant to public financial management. All faculty and instructors will have backgrounds and expertise in relevant areas of instruction, with some being located at other leading Universities across the country, adding to the diversity of instruction and network opportunities for students.

Administration and Support: Students who attend online classes will receive the same quality instruction as those attending traditional classes. The Martin School of Public Policy and Administration ensures the online courses will be provided in an up-to-date format with courses lead by top-notch, nationally recognized faculty. Further, comparability of online distance learning programs to campus-based programs and courses is required by University policy to be evaluated based on student learning outcomes (SLO), retention and student satisfaction.

Graduate Certificate Director: The Graduate Certificate Program in Public Financial Management graduate will have a designated Director, who shall be appointed by the Dean of the Graduate School. The Director will speak for the certificate curriculum and its Associates on matters such as admission to and successful completion of the graduate certificate by students, enforcement of certificate requirements, maintenance of records, and other administration functions. As required by the Graduate School, the Director *must* be a member of the Graduate Faculty of the University. The Director will oversee daily operations of the program, including program marketing, admissions, curriculum, student support and other administrative duties. In addition, student support and services will be provided by the University's Distance Learning Programs. Online instructional support will be provided to faculty by the University's Department of E-Learning. http://www.uky.edu/elearning.

Format: Students seeking the flexibility of online instruction will experience a combination of self-study and student-faculty interaction over an online learning network. Students will complete weekly assignments, readings, exams and other activities with the same level of rigor and expectations of other traditional Master programs offered by the Martin School of Public Policy and Administration. Students will receive registration and course information by way of the University Distance Learning Program. http://www.uky.edu/DistanceLearning and the Martin School. The Martin School website will provide a dedicated portal for students to access and enroll in courses and other program support.

C. RESOURCE NEEDS AND AVAILABILITY

The Graduate Certificate Program will be delivered online and will be the first online program for the Martin School and its collaborating partner, the Von Allmen School of Accountancy. As a new program, the financial plan involves several steps and includes costs in three general categories:

- Program development costs associated with the design of 2 new online courses and redesign/conversion of 2 existing courses to online format.

- Program operational costs associated with administration, program management, marketing and technical assistance;

- Faculty and staff/graduate assistant compensation costs associated with the online program.

The Proposal timeline begins Year 1 with implementation of the online 12-hour/4 course Graduate Certificate Program with 25 students. In Year 2, the Graduate Certificate Program expands from 25 to 50 students. The Program stabilizes in Year 3 with 50 Graduate Certificate Program Students. The following section outlines the budget for the Graduate Certificate Program. Due to the fact that the Graduate Certificate Program is embedded within the newly created Masters of Public Financial Management, proposed elsewhere, the following budget includes the revenues and expenses for the entire program. Further, revenue from the Graduate Certificate Program is expected to support activities related to operation of the Graduate Certificate Program as well as generate revenue to assist with the development and implementation of the 36-hour Master of Public Financial Management Program proposed elsewhere. Because the new program is implemented in phases, the proposed budget for the Graduate Certificate Program (outlined below) includes projected revenue and program startup/operational costs for Year 1, 2 and 3 along with costs/revenues associated with the corresponding Masters of Public Financial Management Program (proposed elsewhere).

Budgeted revenues specifically generated by the Graduate Certificate Program include 1) Graduate Certificate Tuition and 2) Distance Learning Fees as defined by the University. The Martin School will also submit a request for $197,502 to the 2015 E-Learning Innovation Initiative (eLII) to assist with program development start-up costs (e.g., technical course development, instructional design, faculty skill development, marketing, and project management). This revenue is included in Year 1 only. See budget summary for details.

In addition, the University E-Learning program provides $3,000 stipends directly to faculty per new course via the E-Learning + Innovation Design Lab (Faculty Skill Development) RFA to assist with course design, online teaching strategies, faculty training, and development. This last category is considered indirect revenue and not included directly in the proposed budget but will generate up to $36,000 in stipends for the faculty.

The following Budget outlines revenues and expenses for Year 1-3. Items in Year 1 highlighted in **GREEN** include program startup costs associated with the first year's program marketing, administration, faculty course development summer salary and other technical support involved in an online program. These expenses, totaling $197,502 are included in the Martin School's 2015 E-Learning Innovation Initiative (eLII) grant application. In Year 2, the remaining 6 online courses will be developed. Course development expenses are included as "Faculty Course Development" and are based on a median faculty salary of $130,000 and 0.11 FTE summer rate plus benefits at 22

Public Financial Management Program

YEAR 1 Graduate Certificate Program Begins				
REVENUE	Students	Unit		NOTES
Certificate Tuition Fee[1]	25	$596/credit	$178,800	
Distance Learning Fee[2]	25	$360	$9,000	
E-Learning Innovation Initiative Grant			$197,502	One-time allocation for startup
TOTAL DIRECT REVENUE			**$385,302**	
EXPENSES				
Program Director*			$40,000	
Program Director Benefits*			$8,800	Based on 22%
Teaching Assistant		1	$26,200	Includes Waived Tuition
Marketing/Travel*			$20,000	
Faculty Course Development*		$18,117/class	$108,702	6 classes - based on 0.11 summer median salary $130,000 + benefits
Admin Tech Support*			$20,000	0.50 FTE
Instruction (CERTIFICATE)		$12,500/class	$50,000	4 Courses Average/Course = $12,500
Misc Expenses			$10,000	

TOTAL EXPENSES			**$283,702**	
NET REV/EXP			**$101,600**	**36%**

YEAR 2 Graduate Certificate Program Expands and Master Program Begins				
REVENUE	Students	Unit		
Certificate Tuition Fee[1]	50	$596/credit	$357,600	
Distance Learning Fee[2]	50	$360	$18,000	
Master Students Tuition[3, 4]	20	$10,768	$215,360	
TOTAL DIRECT REVENUE			**$590,960**	
EXPENSES				
Program Director[5]			$80,000	
Benefits			$17,600	Based on 22%
Teaching Assistant		3	$78,600	Includes Waived Tuition
Marketing/Travel			$15,000	
Faculty Course Development		$18,117/class	$108,702	
Admin Tech Support			$20,000	0.50 FTE
Instruction (CERTIFICATE-2 sections)		$12,500	$100,000	8 Courses Average/Course = $12,500
Instruction (Master Program)		$12,500	$50,000	4 Courses Average /Course = $12,500 Assumes Program Director will be teaching 2 courses.
Misc Expenses			$10,000	
TOTAL EXPENSES			**$479,902**	
NET REV/EXP			**$111,058**	**23%**

YEAR 3 Certificate and Master Program Fully Established				
REVENUE	#Students	Unit		
Certificate Tuition Fee[1]	50	$596/credit	$357,600	
Distance Learning Fee[2]	50	$360	$18,000	
Master Students Tuition [3,4]	40	$10,768	$430,720	target of 20/year
TOTAL REVENUE			**$806,320**	
EXPENSES				
Program Director[5]			$80,000	
Benefits			$17,800	Based on 22%
Teaching Assistant		4	$104,800	Includes Waived Tuition
Marketing/Travel			$15,000	
Admin Support			$20,000	0.50 FTE
Instruction (CERTIFICATE)		$12,500	$100,000	2 Sections of Certificate

Instruction (Master Program)	$12,500	$125,000	10 Courses Average/Course = $12,500
Misc Expenses		$10,000	Assumes Program Director will be teaching two courses.
TOTAL EXPENSES		**$472,600**	
NET REV/EXP $333,720			**71%**

[1] Online Certificate Tuition based on in-state tuition $596/credit hour

[2] As required by Distance Learning Programs
$10/credit

[3] In-state tuition required for all online programs.

[3]Based on 2015-16 in-state tuition rate of $5,384/semester

[4] Program Director will teach 2 courses annually starting in Year 2

D. **PROGRAM JUSTIFICATION AND OUTCOMES**

1. Meeting a Need

The Graduate Certificate Program is designed to meet the needs of several specific groups of potential students. The major potential student group includes in-service professionals who are in finance, budgeting, accounting or audit positions who desire to enhance their understanding of emerging financial management strategies and policies to enhance their opportunities for career advancement. Another potential student group includes recent graduates who desire to enter the field of public financial management and are seeking rigorous graduate degrees which will prepare and jump start their career opportunities.

In addition to these potential student groups, the program will be attractive to professionals in consulting firms, accounting firms that specialize in governmental and non-profit accounting as well as staff in other private firms that focus on public financial management issues such as rating agencies and municipal security underwriting firms.

The Martin School will be the one of only a few institutions in the county and the only institution in Kentucky to offer a Graduate Certificate in Public Financial Management. Other Kentucky institutions that offer the MPA degree include Western Kentucky University, Northern Kentucky University, the University of Louisville, and Eastern Kentucky University. All of these programs have broad curriculums addressing management as well as public policy. None of these programs require courses such as public sector accounting, auditing, tax policy, municipal securities, public pensions/insurance, forecasting, etc. that serve as core classes within the proposed Graduate Certificate Program.

2. Reporting and Benchmarking:

There will be two different kinds of periodic assessment: (1) programmatic assessment and (2) student assessment. For (2) we will use the standard assessment exercise adopted for our existing Masters programs: student learning outcomes measured against specified rubrics. For (1) the Martin School will use student evaluations for individual courses, and schedule periodic program reviews. We will also monitor graduation rates and graduate destinations.

There will be two different kinds of periodic assessment: (1) programmatic assessment and (2) student assessment. For (2) we will use the standard assessment exercise adopted for our existing Masters programs: student learning outcomes measured against specified rubrics. For (1) we will use student evaluations for individual courses, and schedule periodic program reviews. We will also monitor graduation rates and graduate destinations.

3. Student Learning Outcomes (SLOs)

The intended student core learning outcomes of the MPFM:

- ✓ Understand the process, structures, and underlying logic of financial administration in the public sector including budgeting and debt management including securities, working with bond counsel, etc.
- ✓ Have knowledge of basic principles in that relate to public budgeting and the budgetary process.
- ✓ Identify differences in revenue processes, revenue sources, revenue forecasting, and budgetary challenges that exist between different levels of government.

- ✓ Identify and understand the politics associated with public budgeting at each stage in the process, among participants, and at various levels of government.
- ✓ Understand stabilization policy, financing the budget and budget deficits
- ✓ Understand the budget cycle, management and organization of budget processes
- ✓ Budget as an instrument of managerial performance and monitoring and evaluation of budget performance
- ✓ Achieve an understanding of money and capital markets.
- ✓ Become knowledgeable of the theory and application of public sector cash and investment management practices.
- ✓ Gain an understanding of the importance of government banking relations.
- ✓ Analyze financial control strategies including the role of accounting, reporting, and auditing functions of the public sector.
- ✓ Analyze the interrelationships of these issues with the overall public sector financial management process.
- ✓ Prepare financial reports for governmental and not-for-profit entities.
- ✓ Prepare financial reports for state and local governments.
- ✓ Properly account for general funds and special revenue funds.
- ✓ Properly account for capital projects funds, debt service funds, internal service funds, enterprise funds, and fiduciary funds.
- ✓ Prepare financial reports for local and state school systems, colleges and universities, and hospitals and other non-profits.
- ✓ Analyze governmental financial performance.

Data will be collected through a variety of ways including University run teacher course evaluations, student/faculty feedback, and surveys. Teacher course evaluations are to provide scores in excess of the College mean on overall value of course and overall value of instructor. This is expected to be first evaluated in Year 2 with improvements in Year 3. Student will provide feedback on the curriculum evaluation and development. In the years leading up to the first graduating class, selected artifacts from courses across the curriculum will be evaluated using rubrics on an annual basis to inform the faculty as they alter and improve the curriculum. Benchmarks relative to portfolios and course artifacts will be based on appropriate faculty consensus and will be developed after the first initial review process.

Data and findings will be shared with appropriate faculty committees who will analyze and report findings to the full program faculty. Assessment data will also be shared with college wide committees. Both will occur on an annual basis. Evaluation data and information will be provided to the faculty Curriculum Committee who will provide input to the program faculty on necessary changes to the curriculum. This will occur annually. In addition to evaluating a specific student's performance on the program theses, these and the included artifacts will also be measured against program learning outcomes. Faculty analysis will focus on areas in the program learning outcomes that are perhaps not reflected or reflected poorly in portfolios.

Measuring teaching effectiveness will take into account student success in the class room, teacher course evaluations. Among other duties, the faculty will provide feedback and assistance in the area of instruction. Faculty will make use of existing University resources (for example CELT – the Center for the Enhancement of Learning and Teaching) as well. Faculty will receive input and assistance from the E-Learning Staff to make improvements in virtual course delivery strategies. Surveys will be conducted with both graduates and employers of graduates. The survey will focus on the student's perceived success as well as include the employer's perspective of how well the employee was when s/he began their career. Surveys of graduating students will occur annually. Surveys of employers will occur every three years.

4. Recruitment

Martin School faculty and staff currently recruit students using a variety of methods. Faculty and staff visit public and private undergraduate institutions within Kentucky to meet with students and provide them with brochures about the Martin School and its programs. They also contact prospective students by telephone to answer questions. The Martin School also works to recruit students from institutions across the nation. Efforts are primarily focused on sending information about master's and doctoral programs to faculty advisors in political science, economics, and policy programs. Faculty members also indirectly recruit students through their collegial relationships with faculty at other institutions.

The recruitment of non-traditional students is facilitated through the Martin School's regular interactions with public agencies, and nonprofit organizations. The Martin School will interact directly with professional associations such as the Government Finance Officers Association, Association of Governmental Accountants, the National League of Cities, Kentucky Education Association, school districts, and other groups to recruit potential students.

The Martin School also fundamentally values the recruitment of minority students. It shares the University's commitment to offering more minorities with access to graduate education. The first step in providing access is to make sure undergraduate students are made aware of opportunities in public administration. To this end, faculty, staff, and students attend such events as the University of Louisville's Minority Recruitment Day to have personal interactions with students. The second step is to insure that minority students apply for targeted fellowships and scholarships. All minority students who request information packets are provided with information about special opportunities funding through the graduate school, including the Commonwealth Incentive Award, a non-competitive source of tuition funds for full- and part-time students.

3. Impact on Kentuckians

The Martin School of Public Policy and Administration is nationally recognized for its academic strengths, outstanding faculty, and a curriculum that combines learning and practice and has for decades been a leader among schools of public policy and administration. The Martin School is currently ranked #2 by U.S. News and World Report in the area of public finance and budgeting among schools of public administration and policy. By adding the Certificate Program to its existing degree programs, it will provide students another vehicle to achieve higher goals within their chosen profession in the public and non-profit sectors.

The curriculum is specifically designed for new career entrants as well as seasoned professionals desiring career advancements in public financial management. Beyond the traditional topics of public budgeting and finance, the Graduate Certificate Program will emphasize course content oriented towards public sector accounting, audit, and other financial processes unique to the public sector and often omitted from other programs. The Graduate Certificate Program will make students more effective and valuable within the public sector workforce, preparing them for leadership positions - with the added benefit of a convenient online program offered by a nationally recognized University.

Graduates from the Graduate Certificate Program will be prepared for a life of public service. The skills they develop and the knowledge they acquire will benefit them in their careers and in their civic activities. Many students will choose careers as public financial managers, budget analysts, public accounting, etc. Courses such as public sector accounting, audit, tax policy, and municipal securities will provide students with precise policy analytic tools for evaluating public financial reports, budget documents, public sector audits and more. The Graduate Certificate Program will ensure that its graduates are fully prepared for their chosen career path through relevant course work and a final research project. The Martin School's MPA program is accredited by the National Association of Schools of Public Affairs and Administration. There are no licensure requirements for graduates of Graduate Certificate Program.

4. Impact on Kentucky Communities and Kentucky Economy

The Master of Public Financial Management degree program will enhance Kentucky's communities and economy by giving students the skills and knowledge to advise local and state policymakers and other community leaders on matters of critical importance to the Commonwealth. Graduates from the Graduate Certificate Program will have valuable insight into the political and economic forces that shape complex policy and financial decisions.

The Martin School's Board of Visitors supports the creation of the new program. Current list of Board of Visitors:

BOARD OF VISITORS
Chair: Bradford Cowgill

David Adkins
Executive Director
Council of State Government
3560 Ironworks Pike
P.O. Box 11910
Lexington, KY 40578-1910
Email: dadkins@csg.org

Dave Adkisson
President and Chief Executive Officer
Kentucky Chamber of Commerce
464 Chenault Rd.
Frankfort, KY 40601
Phone: 502-848-8744
Fax: 502-848-8781
Email: davida@kychamber.com

Mark D. Birdwhistell
Associate Hospital Director
Office of the Executive Vice President for Health Affairs University of Kentucky and former Cabinet for Health and Family Services Secretary
317 Health Sciences Building
900 S. Limestone
Lexington, KY 40536-0200
Phone: 859-323-1629
Email: mark.birdwhistell1@uky.edu

Jack Blanton
Former Vice President for Administration University of Kentucky and former State Budget Director
Martin School of Public Policy & Admin
University of Kentucky
431 Patterson Office Tower
Lexington, KY 40506-0033
Phone: 859-257-5741
Fax: 859-323-1937
Email: blantonsc@twc.com

Daniel Bork
VP of Corporate Tax
Lexmark International Inc.
740 New Circle Road
Lexington, KY 40550
Phone: 859-232-5937
Cell: 859-948-0347
Email: dbork@lexmark.com

Linda Breathitt
Commissioner, Public Services Commission
Former Commissioner of Federal Energy Regulatory Commission
1405 Pendennis Circle
Lexington, KY 40502
Phone: 859-268-7731
Email: lindabreathitt@gmail.com

Ron Carson
Senior Fellow, Policy Development
Kentucky Council on Postsecondary Education and former Deputy State Budget Director
1024 Capital Center Dr., Ste. 320
Frankfort, KY 40601
Phone: 502-573-1555
Fax: 502-573-1535
Email: ron.carson@ky.gov

Michael C. Carozza
Former V.P. Federal Government Relations
Bristol Myers Squid
7131 Arlington Road #242
Bethesda, MD 20814 (301-767-5966).
782 Regency Reserve Circle, #782
Naples, FL 34119.
Phone: 301-767-5966 (H)
301-830-2755 (C)
Email: michael.carozza1@gmail.com

Michael T. Childress
Former Director, KY Long Term Policy Research Center
Professor, Department of Economics
Gatton College of Business and Economics
University of Kentucky
Lexington, KY 40506
Phone: 859-257-2912
Email: michael.childress@uky.edu

Martha Layne Collins
Former Governor of KY
921 Taborlake Court
Lexington, KY 40502
Phone: 859-269-6903
Cell: 859-967-8504
Email: mlcollins@ymail.com

Bradford L. Cowgill
Former State Budget Director
783 Chinoe Road
Lexington, KY 40502
Smart Claim, President
209 E. High Street
Lexington, KY 40507
Office: 859-533.3732
Email: bradfordlcowgill@gmail.com

Dave Duttlinger
Director
Department of Community and Economic Development
Alum, Bluegrass ADD
1433 Glenview Drive
Lexington, KY 40514
Email: dduttlinger@bgadd.org

Bill Farmer
President
United Way of the Bluegrass
2480 Fortune Drive #250
Lexington, KY 40509
Phone: 859-233-4461 ext. 210
Email: bill.farmer@uwbg.org

Don Fowler
Former Chair, Democratic National Committee
2725 Devine Street
Columbia, SC 29205
Phone: 803-799-7550
Fax: 803-771-7442
Email: don@fowlercommunications.com

Linda Gorton
Former Vice Mayor
LFUCG
605 Beechmont Rd.
Lexington, KY 40503-2836
Phone: 859-492-1745
Email: lgorton2@gmail.com

Jim Gray
Mayor LFUCG
200 E. Main Street
Lexington, KY 40507
Office: 859-258-3100
Email: mayor@lexingtonky.gov

John Hicks
Deputy State Budget Director
702 Capital Avenue Room 284
Frankfort, KY 40601
Phone: 502-564-7300
Fax: 502-564-6684
Email: john.hicks@ky.gov

Ian Koffler
Attorney and Counselor
Miller, Canfield, Paddock and Stone, PLC
One Michigan Ave., Suite 900
Lansing, MI 48933
Phone: (616) 690-6945
Email: Koffler@millercanfield.com

Pam Miller
Former Mayor of Lexington
Currently Chair Kentucky Council of Postsecondary Education
140 Cherokee Park
Lexington, KY 40503Phone: 859-277-0930
Email: pam7miller@gmail.com

Jim Newberry
Former Mayor of Lexington
Email: jhnlex@gmail.com

Harold Rogers
Member of U.S. Congress
2406 Rayburn House Office Building
Washington, DC 20515
Phone: 202-225-4601
601 Main Street
Hazard, KY 41701
Phone: 606-439-0794
Email: bob.mitchell@mail.house.gov

Mike Ruehling
Former VP-Federal Affairs
CSX Corporation
P.O. Box 595
Naples, FL 34106
Cell: 202-821-2465
Email: ruehling613@aol.com

Daniel M. Sprague
Former Executive Director
Council of State Gov. CEO
3641 Burning Tree Lane
Lexington, KY 40509
Phone: 859-396-6594
Fax: 859-268-0690
Email: dms1850@aol.com

Jonathan Steiner
Kentucky League of Cities
Executive Director/CEO
100 East Vine Street Suite 800
Lexington, KY 40507
Phone: 859-977-3700
Fax: 859-977-3703
Email: jsteiner@klc.org

Harvie Wilkinson
Former V.P. Keeneland Association
MBA Director University of Kentucky
1186 Indian Mound Road
Lexington, KY 40502
Phone: 859-269-9877
Cell: 859-221-2527
Email: harviewilkinson@uky.edu

Bob Wiseman
V.P Facilities Management
University of Kentucky
512 Mill Street
Lexington, KY 40508
Phone: 859-271-5230
Email: Bobwiseman.lexington@gmail.com

Martin School Faculty Meeting Minutes

Re: Establishment of MPFM Program

1. Meeting Date: May 12th, 2015 (Spring Retreat)

Excerpt:

New Program Proposals

Rhonda Trautman presented her proposal for two new programs for the Martin School (presentation attached):

- *Certificate in Public Financial Management*
- *New Masters in Public Financial Management*

These programs would be online and focused on government employees. There is potentially a large market for the 12 hour/4 course certificate which could be completed in two semesters.

A program coordinator would manage both programs. UK's Distance Learning Program would support students.

The details on how a student is tested are still in the works.

Upon the conclusion of Rhonda's presentation, the faculty members present took a consensus vote at which time approval was given to move forward with the new Master's and Certificate programs in Public Financial Management.

2. Meeting Date : May 21st, 2014 (Spring Retreat)

Excerpt:

> *Online—nonprofit, financial management (30-33 hour strictly online) new degree. We can utilize many of graduates who are already teaching online.*
>
> > *Genia says we need to move ahead b/c otherwise we'll be behind. Merl agrees. We need to decide to do it. Ed agrees. Ed feels that Martin School slow to respond. World is different. All of our competitive programs doing online (totally, blended). SPEA, UNC, everyone moving in that direction. Students different, expect convenience. MPA (not Ph.D). Ed agrees with new degrees b/c consistent with new specialized degrees. Ed likes online financial management given what we're known for. Ed votes to move ahead, Genia seconds, Consensus vote to move ahead.*

Brothers, Sheila C

From: Schroeder, Margaret <m.mohr@uky.edu>
Sent: Tuesday, February 16, 2016 11:45 AM
To: Brothers, Sheila C; Hippisley, Andrew R; Ellis, Janie
Subject: Graduate Certificate: Improving Healthcare Value
Attachments: Improving HealthCare Value Graduate Certificate 02102016.pdf

Proposed New Graduate Certificate: Improving Healthcare Value

This is a recommendation that the University Senate approve the establishment of a new Graduate Certificate: Improving Healthcare Value within the College of Public Health.

Please find the revised proposal attached.

Best-

Margaret

Margaret J. Mohr-Schroeder, PhD | Associate Professor of STEM Education | COE Faculty Council Chair | SAPC University Senate Committee Chair | University Senator | Secondary Mathematics Program Co-Chair | STEM PLUS Program Co-Chair | Department of STEM Education | University of Kentucky | www.margaretmohrschroeder.com

~ Updated ~
02/08/2016

College of Public Health
in collaboration with the
Gatton College of Business and Economics
College of Engineering
University of Kentucky

Proposal for a New Graduate Certificate in Improving Healthcare Value (CIP Code 51.0702)

I. BACKGROUND

The United States devotes nearly 18 percent of its gross national product to health care and the rate of growth has exceeded other sectors of our nation's economy for many years. In spite of this large investment, landmark studies by the Institute of Medicine, the Commonwealth Fund, and other organizations show the USA lags behind other developed nations on multiple metrics of population health such as infant mortality and life expectancy.[1] Moreover, there is strong evidence of disparities across the USA in access, cost, and quality of health care services.[2]

Thus, we are confronted by a troublesome paradox. The USA spends a large and growing proportion of our nation's resources on health care, but the outcomes in terms of access to services, the quality of those services, and the health of our population do not match other countries whose spending per capita is much less. Many factors contribute to this paradox --- demographic, economic, environmental, lifestyle, and social --- and all warrant societal attention. However, given their prominent social role and the magnitude of economic resources they consume, growing scrutiny is being given to America's hospitals, health systems, and academic medical centers.

Key stakeholders including public and private payors, state and federal government regulators, bond rating agencies, the media, and the public-at-large are demanding more transparency and better performance by these institutions and their clinical, executive, and governance leaders.[3] Payors are shifting from traditional, fee-for-service payment systems to value-based models, and it is imperative for health care providers to more effectively control operating and capital costs

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[1] Moses, H., Matheson, D., Dorsey, E., George, B., Sadoff, D., and Yoshimura, S. The Anatomy of Health Care in the United States. Journal of the American Medical Association, November 13, 2013; 310(18): 1947-1963.
[2] Yong, P., Saunders, R., and Olsen, L., (editors). The Healthcare Imperative: Lowering Costs and Improving Outcomes - Workshop Series Summary, Institute of Medicine Roundtable on Evidence-Based Medicine. Washington, DC: National Academies Press; 2011.
[3] Prybil, L., Ackerman, K., Hastings, D., and King, J. The Evolving Accountability of Nonprofit System Boards. Chicago, Illinois: AHA Center for Healthcare Governance; 2013:5.

while concurrently improving patient care quality and safety.[4] Meeting these dual challenges will require strong, collaborative leadership by clinical (physicians, nurses, pharmacists, and others), executive, and financial leaders in America's healthcare organizations.

II. PURPOSE OF THE PROPOSED GRADUATE CERTIFICATE

This Graduate Certificate is intended to create educational opportunities for UK graduate students in a range of disciplines, for UK HealthCare staff, and for other healthcare workers to enhance their knowledge and skills related to improving the value (quality and cost) of health care services provided by hospitals, health systems, and academic medical centers. Completing the 15 semester credit hour curriculum will provide (A) instruction in one of three elective tracks, (B) formal certification in improving healthcare value by the University of Kentucky, and (C) substantial credit toward meeting the requirements for a MBA, MHA, or MPH degree.

III. PROGRAM LEADERSHIP

This is an inter-disciplinary program and will be led by a small team composed of senior faculty members from the College of Public Health, the College of Business and Economics, and the College of Engineering. Initially the team will be chaired by Dr. James Holsinger who, in this capacity, will serve as Certificate Director. The Faculty of Record initially will be composed of the following members:

Name:	College:	Graduate Faculty Status:
James Holsinger, MD, PhD	Public Health (Chair)	Full
Sarah Wackerbarth, PhD	Public Health	Full
Abbott Maginnis, PhD	Engineering	Associate
Giuseppe (Joe) Labianca, PhD	Business and Economics	Full
Steven Skinner, DBA	Business and Economics	Full

If a faculty member becomes ineligible to serve on the Faculty of Record, the remaining Faculty of Record members will meet and vote in a replacement.

IV. CERTIFICATE PROGRAM CURRICULUM

A. THE CURRICULUM MODEL:

[4] Karash, J., Investing in Value-Based Health Care. Hospitals and Health Networks. May 1, 2013; 87:(5): 54-58; and Numerof, R., Making the Transition from Volume to Value. Chicago, Illinois: AHA Center for Healthcare Governance; 2013: 11-17.

The curriculum model for this Certificate Program will require five courses (total of 15 semester credit hours). Applied experiences are included in some of the required coursework, and elective participation in a one-week Lean System Certification Program offered by the College of Engineering is encouraged. The curriculum model includes coursework in three alternative tracks: clinical leadership, finance and business, and quality and safety improvement. All courses listed in the three tracks currently are being taught except for CPH 755, "Leading Change with Healthcare Teams," which is a new course.

B. REQUIRED COURSES IN THE THREE ALTERNATIVE TRACKS

The required three hour foundational course is CPH 600, "Health Services and Systems Organization," which also is listed as HA 601, "U. S. Health Care." CPH 600 provides an introduction to the organization of health services and health systems in the United States. Topics include the health system's composition, functions, organizations and professional groups, settings, financing, and major problems and policy issues.

If a student has considerable work experience (at least three years) in the health field, with the approval of the Certificate Director, CPH 600 can be waived, and the student may take another course within the track they have elected to fulfill the certificate requirement of 15 credit hours.

CLINICAL LEADERSHIP TRACK

For students who elect the track in clinical leadership, two additional courses, CPH 755 and MGT 697, will be required. In addition, students will complete two (2) courses from the list of approved electives or another course(s) approved as a substitute by the Certificate Director. Electives will be reviewed periodically as necessary by the Certificate Director in consultation with the Faculty of Record and the faculty of record. All newly approved electives will be at the 600-level or higher.

(1) CPH 755, "Leading Change with Healthcare Teams." (Three Semester Hours). This three credit hour course will focus on skill development in using teamwork to achieve leadership goals in health care delivery; identification of key features of successful teams and factors that lead to team failures; and identification of specific behaviors and communications that enhance effective team interaction.

(2) MGT 697, "Leadership, Communication, and Ethics." (Three Semester Hours). This course is designed to help develop and apply the most vital and relevant skills required in today's competitive and demanding world of work. Your employers, colleagues, subordinates, and customers expect you to use interpersonal, leadership, communication, team-building, and decision-making skills with professionalism, expertise, and integrity. They look to you to not only show competence in delivering results, but also to deliver those results while coping with ambiguity, adversity, and conflict. They expect complete integrity.

The distinctive feature of this course is that it is designed predominantly to allow you to actually work on yourself. Your own personal change, development, and improvement are our objectives. "Book" knowledge is not the sole emphasis, although you certainly will be offered key actionable principles that will empower you to become a better leader, manager, and worker. You will learn about yourself. You will come to improve yourself. You will then be able to work with others in helping them optimize their own personal effectiveness.

- HA 604, "Healthcare Ethics and Governance." (Three Semester Hours). This course addresses the basic concepts and principles of healthcare ethics --- including the biomedical, managerial, and organizational components --- and applies them using case studies, role playing, and analytical exercises. The course also examines the roles and responsibilities of healthcare governing boards and factors that influence their effectiveness.

- CPH 614, "Managerial Epidemiology." (Three Semester Hours). This course equips students with basic skills in the field of epidemiology and its application in the field of healthcare management and leadership. This course applies and integrates the principles and tools of epidemiology to the decision-making in a health care environment. It is intended for epidemiologists, managers, and clinical nurse executives and leaders who want to understand the value of epidemiology and population-based health care to the process of rational decision-making. The course builds upon fundamental epidemiologic principles and theory, with specific applications to health services.

- CPH 752. "Leadership in Health Organizations." (Three Semester Hours). This course is designed to explore the dimensions of leadership as presented in both traditional and contemporary literature. It focuses student understanding on their leadership qualities and the ways to apply them effectively in the contemporary environment.

- CPH 758, "Special Topics in Health Management and Policy," (Three Semester Hours). A special section of this course will teach students how to conceptualize, design, and plan consumer- and patient-oriented research studies, both from a population and clinical perspective. Students will learn how to formulate research ideas, select appropriate study design, and identify valid and reliable measures of health-related quality of life and consumer assessment or care.

- MGT 611, "Managing Effective Organizations." (Three Semester Hours). A critical examination of behavior and performance within organizations and between organizations. Special attention is paid to the problem of performance at the individual, group, and formal organizational level.

FINANCE AND BUSINESS TRACK

For students who elect the track in finance and business, four additional courses will be required. These four courses and their prerequisites are:[5]

(1) ACC 628, "Financial/Managerial Accounting." (Three Semester Hours). A study of the application of accounting information and services in the recognition or solution of management problems in business. Prereq: ACC 201, or ACC 221 and 222 or its equivalent, and MA 123 or its equivalent.

(2) ECO 610, "Managerial Economics." (Three Semester Hours). Analysis of applications of economic theory to management decision making. Such problems as demand and cost determination, pricing, and capital budgeting are treated. Prereq: MA 123 or its equivalent.

(3) FIN 600, "Corporate Financial Policy." (Three Semester Hours). A study of financial management from the viewpoint of the corporate financial officer. Areas studied include capital budgeting, capital structure, financing decisions, working capital management, dividend policy, and mergers and acquisitions. Prereq: ECO 610, MGT 650, and ACC 628.

(4) MKT 600, "Marketing Management." (Three Semester Hours). This course is designed to provide students with an understanding of: the role of marketing function in an organization; the types of marketing decisions and analytical procedures involved in

[5] The accounting and economics prerequisite courses (ACC 201/202 and ECO 201/202) are available online with flexible start and end dates so they can be completed by students on their own schedule and at their own pace.

making each decision; the overall marketing planning process; and, the impact of the social, economic, and legal environment on marketing decisions. Prereq: ECO 610, ACC 628, MGT 611, and MGT 650.

These four courses are part of the MBA curriculum, but special sections of these courses with an emphasis on health care application will be offered for students in the certificate program.

In addition, CPH 755, "Leading Change with Healthcare Teams," is highly recommended as an elective course for students in the finance and business track

QUALITY AND SAFETY IMPROVEMENT TRACK

For students who elect the track in quality and safety improvement, two additional courses will be required. They are:

(1) CPH 755, "Leading Change with Healthcare Teams." (Three Semester Hours). This three credit hour course will focus on skill development in using teamwork to achieve leadership goals in health care delivery; identification of key features of successful teams and factors that lead to team failures; and identification of specific behaviors and communications that enhance effective team interaction.

(2) MFS 526, "Operations Management in Lean Manufacturing." (Three Semester Hours). This course employs a mixture of in-class presentations, hands-on activities, and selected outside assignments to teach and demonstrate the development of a lean operations environment and the management system to support it. Working in teams, students apply fundamental lean tools and concepts to develop a lean operations environment in a simulated factory. As the operational environment evolves, key management principles and tools are explored using the teachings of Taiichi Ohno and other considered to be the pillars of the Toyota Production System.

In addition, students will complete two (2) courses from the following list of electives or another course(s) approved as a substitute by the Certificate Director. Other courses in the College of Business and Economics, the College of Public Health, and the College of Engineering may be available as electives. Electives will be reviewed periodically as necessary by the Certificate Director in consultation with the Certificate Leadership Committee and the faculty of record. All newly approved electives will be at the 600-level or higher.

- HA 623, "Healthcare Operations Analysis and Management." (Three Semester Hours). This course addresses the basics of operations improvement from project selection through process and outcomes evaluation. The focus is on strategic decision making under conditions of uncertainty, risk and multiple objectives, and change implementation using teams.

- CPH 710, "Healthcare Epidemiology," (Three Semester Hours). This course will focus on the epidemiology, history, methods, and ancillary laboratory tools used in the study and control of healthcare associated adverse events, including discussions of key concepts and theory, basic types of epidemiological investigations and study designs, and distinctive problems associated with specific risk factors. Adverse events will be discussed as components of patient safety and the quality of care.

- CPH 680, "Fundamentals of Healthcare Quality and Safety." (Three Semester Hours). This course introduces students to the broad discipline of health services systems with an emphasis on quality and patient safety. By the end of this course students will have a better understanding of the theory, methods, structures, and processes of health services, quality and patient safety and why these core areas are so important in health care.

- CPH 614, "Managerial Epidemiology." (Three Semester Hours). This course equips students with basic skills in the field of epidemiology and its application in the field of healthcare management. This course applies and integrates the principles and tools of epidemiology to the decision-making in a health care environment. It is intended for epidemiologists, managers, and clinical nurse executives and leaders who want to understand the value of epidemiology and population-based health care to the process of rational decision-making. The course builds upon fundamental epidemiologic principles and theory, with specific applications to health services.

- CPH 758, "Special Topics in Health Management and Policy." (Three Semester Hours). A special section of this course will teach students how to conceptualize, design, and plan consumer- and patient-oriented research studies, both from a population and clinical perspective. Students will learn how to formulate research ideas, select appropriate study design, and identify valid and reliable measures of health-related quality of life and consumer assessment of care.

- HA 624, "Information Systems in Healthcare." (Three Semester Hours). This course provides a managerial level perspective on the use of information and information systems (IS) in healthcare. The course will review basic information on IS technology, terminology, and data management. In this course, students will apply a lifecycle approach to information systems development including systems analysis, design, development, implementation, and evaluation. Outside speakers will provide additional insights on current and evolving information system applications and information technology within healthcare. Decision analysis, strategic planning, and organization theory will be integrated and applied in course projects to address client-centric information system needs in health organizations (i.e., finance, administration, clinical applications, strategic planning, and performance management). Legal, governance, and ethical issues regarding health information will be addressed.

- MFS 609, "Leadership for a Lean System." (Three Semester Hours). This course will explore the Toyota Production System (True Lean) using guest speakers, discussion groups, simulations and various other activities. Guest speakers will include a variety of highly experienced Toyota leaders, both current and retired, as well as leaders from local organizations. Because the common focus of a True Lean enterprise is people doing work, the concepts covered in this course are applicable to all types of organizations from non-profits, to healthcare and transactional services. Topics will include understanding the skills and behaviors needed to build and manage a True Lean system, how to develop and manage committed team members, and managing change within the organization and its effects on team members.

C. APPLICATION EXPERIENCE

The requirements of CPH 755 will include student participation in team projects conducted at UK Healthcare and, possibly, at other healthcare organizations. In addition, while not a certificate program requirement; students in all three tracks are strongly encouraged to complete College of Engineering's non-credit Lean Systems Certification Program, an intensive one week instructional program offered by the College of Engineering several times per year. This experience would enhance their knowledge and skills and enrich their education. For students in the Finance and Business track, a non-credit, 36 contact-hour Lean Six Sigma instructional program is provided by the Gatton College of Business and Economics.

V. BENEFITS OF THE GRADUATE CERTIFICATE IN IMPROVING HEALTHCARE VALUE

A. FOR STUDENTS:

1. Formal certification in improving healthcare value and enhanced preparation for career advancement in healthcare and health related organizations.

2. Valuable inter-disciplinary and team leadership experience.

3. Fifteen hours of graduate credit some or all of which may be applicable to UK's MBA or MHA programs.

B. <u>FOR THE COLLEGES:</u>

1. Opportunity to collaborate in a high-quality, innovative graduate certificate program that accesses and employs resources from multiple colleges.

2. Promote multi-disciplinary education and team-work that fosters future collaboration and will have long-term benefits for all participants.

3. Create a cadre of US and international Certificate Program graduates who can assist in recruiting future students for the contributing Colleges.

C. <u>FOR THE UNIVERSITY OF KENTUCKY AND THE COMMONWEALTH</u>

1. Provide educational experiences for current UK students and practitioners that, over time, will enhance the health and welfare of citizens in the Commonwealth of Kentucky and beyond.
2. Strengthen UK's reputation as an institution that provides high-quality education and training that addresses high-priority health issues in the Commonwealth, the nation, and the world.

VI. APPLICATION, ADMISSION, AND COMPLETION REQUIREMENTS

A. Prospective students will apply for admission to the Graduate Certificate Program through the Graduate School on-line application process. Admission requirements will include a baccalaureate degree, GRE or ATGSB scores, and at least one course in statistics and/or quantitative methods.

B. Persons with post-baccalaureate degrees in the health professions (e.g., MD, PharmD, etc.) who wish to enroll in this Certificate Program will not be required to have GRE or ATGSB scores.

C. To assist in the admissions decision process, applicants will be asked to provide a concise (two page) statement on why he or she wishes to complete this Certificate Program and a one-page bio.

D. Applicants for admission must be approved by the Certificate Director who shall notify the Graduate School of the student's admission.

E. The number of admissions to this Graduate Certificate Program may be limited to coincide with available faculty resources.

F. This Graduate Certificate Program will require five courses (total of 15 semester hours) that ordinarily can be completed in a sequence of four academic terms. In some instances, depending on course availability and the student's course load, it may be possible to complete the requirements in three consecutive terms.

G. All course work must be completed within five years of admission to the Certificate Program. Graduate Certificate students must maintain a GPA of 3.0 or better to progress in the curriculum and receive the Certificate.

H. When an enrolled student has successfully completed the coursework, the Certificate Director will sign and send the Graduate Certificate Completion Form to the Dean of the Graduate School verifying that the student has fulfilled all requirements for the Certificate and requesting award thereof. The Graduate School shall then issue the student's certificate and officially notify the University Registrar of the awarding of the Certificate for posting to the student's permanent transcript.

SIGNTURE ROUTING LOG

General Information:

Proposal Name: Graduate Certificate in Improving Healthcare Value

Proposal Contact Person Name: Andrea Perkins Phone: 218-2021 Email: andrea.perkins@uky.edu

INSTRUCTIONS:
Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
Academic Affairs Committee	4/9/15	John Watkins/218-0240/john.watkins@uky.edu	
Faculty Council	4/22/15	Steve Fleming/218-2229/steven.fleming@uky.edu	
Academic Dean-Public Health	4/22/15	Kathryn Cardarelli/218-0241/Kathryn.cardarelli@uky.edu	

External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision[6]
Undergraduate Council			
Graduate Council	5/7/15	Roshan Nikou	
Health Care Colleges Council			
Senate Council Approval		University Senate Approval	

Comments:

[6] Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.

Rev 8/09

CERTIFICATE ASSESSMENT

Student Learning Outcomes

The learning objectives for the graduate certificate are:

- Understand the history, structure, and functions of the U.S health care system (all students)
- Understand how access, cost, and quality of health services in the U.S compares with other nations and explain the need for improvements (all students)
- Enhance knowledge and skills in assessing organizational effectiveness and managing change processes (all students)
- Enhance proficiency in planning, organizing, and leading multi-disciplinary clinical teams (especially students in the clinical leadership track)
- Enhance proficiency in applying fundamental accounting, economic, financial, and marketing principles and tools in healthcare settings (especially students in the finance and business track)
- Enhance proficiency in identifying opportunities for improving patient care quality and safety and applying contemporary principles and tools in achieving better outcomes (especially students in the quality and safety improvement track)"

Student Learning Outcome Assessment

Our plan is to develop and integrate assessment instruments throughout the required courses to provide students with continuing feedback and to provide faculty with metrics based on student comprehension. The intent is to modify course content as appropriate and to improve the Graduate Certificate content as needed. For example, we will request that a course instructor develop appropriate artifacts that can be integrated into the assessment plan as students enroll in the Certificate and as the program matures. Such artifacts include, but are not limited to examinations, project reports, integrative papers, reviews of books read, etc.

As a part of all three tracks, CPH 600 (Health Services and Systems Organization) will provide the core knowledge of the U. S. healthcare system on which the other four courses in each track will build. The Clinical Leadership track and the Quality and Safety Improvement track expand on the knowledge gained in CPH 600 and CPH 755 (Healthcare Team Leadership in Changing Times). The Business and Finance track will build on the core knowledge of CPH 600 throughout the four required courses developing an understanding of the business and finance aspects of healthcare.

Certificate Outcome Assessment

In addition to specific evaluation built into each course, we also will develop an overall Certificate assessment methodology. This will be developed based on the learning objectives for the Certificate as stated above. The specific means of measuring these objectives will be determined during the first two years following the approval of the Certificate and prior to its completion by the first cohort of students. The Certificate leadership team will be charged with developing the metrics to be assessed. Our plan is to develop two core deliverables for Certificate assessment: (1) quantitative data for selected assignments in courses that reflect the

Certificate learning objectives; and (2) artifact collection from courses, such as project reports, integrative papers, book review and/or final projects that will reflect certificate learning objectives. As an example, the learning objective based on CPH 600 will be assessed by the final examination based on a metric of the percentage of students scoring 80% or better. Both deliverables will be developed by the Certificate leadership team. In addition, the Certificate will be assessed by determining the percentage of each cohort completing the five course sequence in the selected track with a metric based on an 80% completion rate.

Application of the certificate learning objectives will be assessed by two methods: (1) Since students in all three tracks are encouraged to complete the College of Engineering's non-credit Lean Systems Certification Program as an opportunity to apply what has been learned in the Certificate, a metric of 50% completion will be established. (2) Assess the career outcomes of those completing the Certificate through contact with the Certificate alumni utilizing online social network systems (e.g., LinkedIn, Twitter) and the alumni relations staff of the three Colleges. Formal and informal alumni surveys of their current career and salaries; the connections between courses and subsequent work tasks; and input on additions or changes to the course material will be conducted for each track cohort.

DEANS' LETTERS

UNIVERSITY
OF KENTUCKY

College of Public Health

Office of the Dean
111 Washington Avenue, Suite 112
Lexington KY 40536-0003
(859) 218-2047 phone
(859) 323-5698 fax
http://www.mc.uky.edu/PublicHealth

April 15, 2015

Faculty Council
College of Public Health
University of Kentucky

RE: Support for Graduate Certificate in Improving Healthcare Value

I write this letter to indicate my unqualified and enthusiastic support for the proposed Graduate Certificate in Improving Healthcare Value. After reviewing the proposal carefully, I am excited to collaborate with the Gatton College of Business and Economics and the College of Engineering in providing this certificate.

This is a truly an innovative approach to graduate education and I will believe will be an immense success in training future leaders in healthcare.

Sincerely,

Wayne T. Sanderson

Wayne T. Sanderson, PhD, CIH
Interim Dean

Gatton
COLLEGE OF BUSINESS & ECONOMICS
UNIVERSITY OF KENTUCKY

UK
UNIVERSITY OF
KENTUCKY

April 15, 2015

Faculty Council
College of Public Health
University of Kentucky

RE: Support for the Graduate Certificate in Improving Healthcare Value

Dear Members of the College of Public Health Faculty Council:

I write this letter to indicate my unqualified and enthusiastic support for the proposed Graduate Certificate in Improving Healthcare Value. I have reviewed the proposal in detail and have met to discuss it with Interim Dean Wayne Sanderson of the College of Public Health, Dean John Walz of the College of Engineering, Dr. Larry Prybil, Dr. Jim Holsinger, and Dr. Ty Borders, all from the College of Public Health, and Dr. Joe Labianca from the Gatton College of Business and Economics.

I am truly excited to collaborate with the College of Public Health and the College Engineering on a certificate program that will serve students in the MBA, MPH, and MHA programs, but that will also provide an opportunity for industry professionals to build a skill set that is in high demand in the healthcare industry.

Our college is prepared to deliver the business courses included in the certificate. The proposal has been approved by our MBA Policy Committee and will be part of the agenda at our April 24, 2015 faculty meeting, where it will be presented for review and approval.

Sincerely,

David W. Blackwell
Dean

Office of the Dean | 255 Gatton College of Business and Economics Building
University of Kentucky | Lexington, KY 40506-0034 (859) 257-8939 Fax (859) 257-8938 gatton.uky.edu

UK

UNIVERSITY OF
KENTUCKY

Office of the Dean
College of Engineering
351 Ralph G. Anderson Building
Lexington, KY 40506-0503
859 257-1687
Fax 859 257-5727
www.engr.uky.edu

April 10, 2015

CPH Faculty Council
University of Kentucky
College of Public Health

Dear Council Members,

I write to express my strong support for the proposed graduate certificate in Improving Health Care Value. The College of Engineering is excited about the opportunity to participate in this valuable program and will commit to offering the courses relevant engineering courses, specifically in the Quality and Safety Improvement track.

Sincerely,

John Y. Walz

John Y. Walz
Dean

COLLEGE OF PUBLIC HEALTH APPROVAL

HMP FACULTY MEETING MINUTES

November 12, 2014

1:00-2:30 CPH 207

Attendees: Ty Borders, Martha Riddell, Julia Costich, Mike Smith, F. Douglas Scutchfield, Sarah Wackerbarth, Rick Ingram, Jim Holsinger, Larry Prybil, CB Mamaril, Scott Hankins, Kimberly Tumlin, Andrea Perkins, and Melody Hall

1. Approve September faculty meeting minutes
   - Approved

2. Update on electronic student course evaluations (Andrea Perkins, Kimberly Tumlin)
   - Kimberly Tumlin will work with assessment and with the colleges' stakeholders.
   - TCE's on-line will be on a trial run basis this Fall.
   - Fall 2015 they will be available college wide in Fall 2015.

3. Update on faculty recruitment
   - We are interviewing Adam Wilk in December.
   - We will interview others later.

4. Drs. Holsinger and Prybil presented the proposed certificate in Improving Health Care Value. The faculty discussed the certificate.
   - The 3 tracks of the certificate are Clinical Leadership, Finance and Business, and Quality /Safety Improvement.
   - Overall, the faculty expressed some support for a potential certificate, but had concerns about particular components of it.
   - Several faculty members questioned what the target audience was for the certificate and the business case for offering it.
   - There was discussion that the certificate is not a partnership with B&E because the Finance and Business track does not include any HMP courses.
   - Several faculty members commented that we should cross-list selected HMP and B&E courses in the Finance and Business track (e.g., health care marketing and marketing).
   - Several faculty members commented that CPH 600 Health Services and Systems Organization should be the core/foundational course.
   - There were some questions raised about the "electives" language contained in the certificate proposal- would they be in addition to or in place of the "selectives" listed?
   - Several questions were raised regarding the practicum, noting that it is for no credit hours and would generate no tuition revenue.

Dr. Borders summarized the main points regarding the certificate for further discussion:

(1) Business case and market
(2) Core/foundational course
(3) Health care content in the Finance and Business track
(4) Need for a practicum
(5) Assessment/competencies

5. Discussion about combined HA/CPH course content

6. Brief CPH Committee Reports

   a. Faculty Council –Riddell
   b. Academic Affairs – Wackerbarth
      - We have 18 students that have completed their course work but have not completed their capstone.
      - Steve Fleming will have a new Healthcare Epi. course. Dr. Wackerbarth will send it to the HMP faculty.
   c. Admissions – nothing to report
   d. Research – nothing to report
   e. Practice and Service – nothing to report
   f. Health Care Colleges Council – nothing to report
   g. Academic Promotion and Tenure – nothing to report

7. Other issues
   - Dr. Williams stated that his new course proposal is based on prior courses taught be Sarah Wackerbarth. This course will engage faculty and staff that are interested in health care teamwork.
   - This course will teach how to become a leader, trainer, for our future workers.
   - Also, the electronic format will be interactive.

8. Adjourn

Prybil, Larry

From: Prybil, Larry
Sent: Saturday, April 11, 2015 2:07 PM
To: Holsinger, James
Subject: SOME GRADUATE CERTIFICATE-RELATED ITEMS WE'LL WANT TO ADDRESS

Jim – In addition to talking with Steve Fleming and developing any additional "section(s)" to the current proposal we decide are needed for the CPH Faculty Council's review, there a few related items we should discuss:

- With request to the "approval date" by the HMP faculty, there a couple of options. Probably the best bet is to use 2/25/15. On February 17 I sent Ty (and you) an email that appended the draft proposal dated 2/17/15. That email outlined — and the proposal incorporated — the two (minor) amendments the HMP faculty agreed upon in December plus the edits that emerged from our 1/13/15 team meeting with the B&E folks + Brian Jackson's suggestions and asked Ty if he wanted to place this package on the 2/25/15 HMP faculty agenda. His preference was to distribute my email & the proposal to the faculty with a transmittal note from him that saying "Please see below an update on the status of the proposed certificate program. We have a full agenda of other issues set for tomorrow's meeting, but this email should suffice." At that meeting, under Other Business, I asked if anyone had questions — no one did — and outlined the next steps and timetable to obtain multi-college & UK approvals.

Academic Affairs Committee Meeting
Minutes
April 9, 2015
9:00am
CPH, Room 115

Attendees: Keith Branham (DrPH Student), Sabrina Brown (Epidemiology), Julia Costich (Health Management & Policy), Kate Eddens (Health Behavior), Sujin Kim (Biostatistics), Andrea Perkins (Academic Affairs Administrator), Kimberly Tumlin (Assistant Dean Academic & Faculty Affairs), John Watkins (Gerontology, chair)

Absent: Katherine Cardarelli (Associate Dean Academic & Student Affairs), Stephen Carrick (MHA Student), Betty Ouyang (Environmental Health)

1. Call to Order by Dr. Watkins at 9:03am

2. Approval of Agenda – Motion was made to approve by Julia Costich with a second from Kate Eddens. Agenda was approved.

3. Approval of Minutes from March 12th, 2015 meeting – Motion was made to approve by Julia Costich with a second from Sujin Kim. Minutes were approved.

4. Curricular proposals:

    a. Course Change Proposal: BST 330 – Change to BST 230 – Dr. Watkins Primary Reviewer
        i. Changes are being proposed to compliment BPH program. The suggested change is to a lower number and change the title. The committee recommends changing the title to Public Health Analytics I for BST 230.
        ii. The course proposal form lists a discussion section but in the syllabus it is listed as a lab. The committee recommends that the instructor be consistent.

    b. New Course Proposal: CPH 330 Public Health Analytics – Dr. Watkins Primary Reviewer
        i. The committee recommends changing the title to Public Health Analytics II to compliment the title of BST 230 since this is to be a follow up course and BST 230 would be a prerequisite.

    The chair recommended to approve both course proposals pending the recommended changes – the courses were approved.

    c. New Certificate Proposal: Improving Healthcare Value – Dr. Watkins Primary Reviewer
        i. The certificate allows for flexibility within the curriculum for students to choose one of three tracks. The certificate is coordinated with CPH, B&E, and Engineering.

ii. The committee questions how often the courses in the proposal are being offered.
iii. Dr. Costich said the finance and engineering courses are part of their regular programs and are offered frequently. The HA courses are offered every year in the MHA program. She's not sure about CPH 710.
iv. Dr. Watkins recommended that Dr. Holsinger and Prybil add an appendix that shows the course offerings/frequency and the resources that will be available for a student to complete the certificate in a timely manner.
v. Dr. Tumlin suggested outcomes be listed for the program and an assessment plan be created as well.
vi. The committee recommends the following amendments so that the certificate can continue on through the committees unencumbered:
    1. Include course and instructor overview and plan
    2. Obtain letters of support from all three College Deans
    3. Include an assessment plan
    4. The date the HMP department approved the certificate needs to be included for Senate
vii. A motion to approve the certificate with recommendations was made by Kate Eddens with a second from Kimberly Tumlin. The certificate was approved pending recommendations.

5. Report of Associate Dean for Academic Affairs – given by Kimberly Tumlin

    a. To follow up from previous meetings: The TA policy was revised – 1. Open enrollment window with specific days was added, 2. TA's will need to self-register for orientation, 3. Time frames have been adjusted to allow more time for processing. The process will be posted online on the HR webpage
    b. Dr. Watkins asked if the teaching practicum and seminar courses be utilized for TA training. Dr. Tumlin reported that the teaching courses will not tie into the TA process at the moment.
    c. The Capstone and Practice courses for the BPH program need to be offered; they are both being offered this fall.
    d. The minor is in the planning process – it started through the system, but was pulled since there were changes in development to the proposal.
    e. The major changes will be coming to the table shortly and will address sequencing, outcomes and progression. The new curriculum design will address prerequisite needs for higher level courses
    f. The assessment planning will enhance tracking in the core courses to ensure skills are being developed.
    g. There is a new advising planning tool being developed, so all undergrad programs had to develop their course sequencing as a tool for the new software the University is rolling out this fall.

h. The College is working on strengthening the BPH to align students in pursuing an MPH or other Master's level programs or enter the workforce.
i. This involves restructuring the BPH so the electives would allow students to receive a minor as well either within the College or other Colleges.
j. A course sequencing map at the College level needs to be developed to prevent course time conflicts.
k. Update on BPH enrollments for the fall: at the end of March we are at 52 pre and BPH majors. The projection is to have 150 students by January. We will have our first graduates in December.
l. KHP has a proposal that is a BS in Health Promotion (non-teaching certified track) which includes a new course proposal that is very similar to CPH 201. Dr. Tumlin and Cardarelli are meeting in May with KHP to discuss how we can collaborate without having crossover.
m. The Provost has asked all the Colleges to prepare a report as an overview of the health of the College. The report will look at what resources are necessary for implementation of College programs.

6. New/Future business
    a. Dr. Watkins asked if more special topics lines can be created, specifically at the 500-level in the BPH
    b. Dr. Watkins asked for an advising FAQ for undergrad instructors.

7. Next Meeting: May 14, 2015

8. Adjournment

UK
UNIVERSITY OF
KENTUCKY
College of Public Health

Academic Affairs Committee Meeting
Minutes
April 9, 2015
9:00am
CPH, Room 115

Attendees: Keith Branham (DrPH Student), Sabrina Brown (Epidemiology), Julia Costich (Health Management & Policy), Kate Eddens (Health Behavior), Sujin Kim (Biostatistics), Andrea Perkins (Academic Affairs Administrator), Kimberly Tumlin (Assistant Dean Academic & Faculty Affairs), John Watkins (Gerontology, chair)

Absent: Katherine Cardarelli (Associate Dean Academic & Student Affairs), Stephen Carrick (MHA Student), Betty Ouyang (Environmental Health)

1. Call to Order by Dr. Watkins at 9:03am

2. Approval of Agenda – Motion was made to approve by Julia Costich with a second from Kate Eddens. Agenda was approved.

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        i. Changes are being proposed to compliment BPH program. The suggested change is to a lower number and change the title. The committee recommends changing the title to Public Health Analytics I for BST 230.
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    The chair recommended to approve both course proposals pending the recommended changes – the courses were approved.

    c. New Certificate Proposal: Improving Healthcare Value – Dr. Watkins Primary Reviewer

h. The College is working on strengthening the BPH to align students in pursuing an MPH or other Master's level programs or enter the workforce.
i. This involves restructuring the BPH so the electives would allow students to receive a minor as well either within the College or other Colleges.
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    b. Dr. Watkins asked for an advising FAQ for undergrad instructors.

7. Next Meeting: May 14, 2015

8. Adjournment

University of Kentucky
College of Public Health
Faculty Council
Minutes
Wednesday, April 22, 2015
8:30 am
CPH Room 207

Attendees: Fleming, Prince, Riddell, Sanderson, Swanson, Watkins, Flanagan

I. Call to Order - The meeting was called to order at 8:35 am.

II. Approval of Agenda – The agenda was accepted as presented.

III. Approval of minutes – The minutes from March 25, 2015, were accepted as presented.

IV. Dean's Update – Sanderson provided information as follows:
- Dean's Search – four dean candidates have been invited to campus the first week of May to meet with college constituents, give talks, and meet with external partners. It is anticipated that there will be a second interview with one or two candidates.
- The number one priority when Sanderson became interim dean was to realign activities in the business office. While there has been great progress, there is still work to be done. The college will finish "in the black" this fiscal year. The college audit has been put on hold.
- The Provost's budget meeting is on Friday April 24. The plan is to request more resources, including 3 new regular faculty lines, lecturer faculty support, and TA support. Flanagan provided an overview of the Lecturer title series and will distribute the university AR to the committee. Watkins can provide several recent articles regarding the utilization of lecturers. Space issues will again be highlighted.
- Development – Sarah Noble has been working to identify and track scholarships and endowments. She is working with Scot McIntosh to develop two annual alumni newsletters. The new dean should have the experience to solicit large donations for the college.

V. Unfinished Business
- HCCC election – One faculty member has self-nominated for this position. Fleming will continue to solicit nominations, with a possible vote being held at the all-hands meeting.
- College Committees for 2015-16 – The college committee roster was reviewed again, sharing feedback from chairs about representatives from departments. Our goal is to have a complete roster before July 1.

VI. New Business
- The following curricular items were approved:
  - New course proposal: CPH 330 Health Analytics I
  - Course change proposal: BST 330 Title Change
  - New Graduate Certificate Proposal: Improving Health Care Value
    The council requested that Academic Affairs conduct an assessment of the value of certificates to graduates in obtaining positions.
- The All-Hands meeting agenda was reviewed. Fleming will work to finalize it and send to faculty and staff in a few days.

VII. Committee Reports – none.

VIII. Other Business

There was a brief discussion regarding questions for the dean candidates.

IX. Closing

- Action Items
  - **Fleming will continue solicit nominees for the HCCC election.**
  - **Flanagan will distribute the AR regarding the Lecturer title series, as well as articles from Watkins.**
  - **Fleming will continue filling the College Committee roster with department representatives for the 2015-16 academic year.**
- Agenda Items
- Next Meeting
  - The next meeting is scheduled for Wednesday, May 27, 8:30 am in CPH 207.

X. Adjourn – The meeting was adjourned at 10:01 am.

Minutes prepared by Becki Flanagan

Bylaws of the
University of Kentucky College of Public Health

PREAMBLE

These Bylaws serve to govern and guide the academic and administrative conduct within the College of Public Health. They are intended to be consistent with the Governing Regulations and Administrative Regulations of the University of Kentucky and the laws of the Commonwealth of Kentucky and the United States of America. In the event the Bylaws presented herein are inconsistent or contrary to the above-mentioned regulations and laws then those regulations and laws supersede these Bylaws.

0.0. ACADEMIC STRUCTURE

0.1. The College is comprised of personnel who, as a group, provide purpose for the College and are responsible for conduct in support of the many mandated and elective activities found within the College.

0.1.a. The Faculty is primarily responsible for the research, teaching, and service missions of the college, and collectively serves as the governing body of the College.

0.1.b. The Administration is primarily responsible for managing the fiscal affairs of the College, and for instituting academic policies and procedures, as developed and/or modified by the Faculty, in accordance with university, state, and accrediting bodies.

0.1.c. The Staff is primarily responsible for providing Faculty and Administration the support necessary in fulfilling the mission of the College.

0.1.d. The Students are responsible for engaging in the opportunities for academic and professional achievement provided by the College.

0.2. The College is comprised of six Academic Units: the Departments of Biostatistics, Epidemiology, Health Behavior, Health Services Management, Preventive Medicine and Environmental Health, and the Graduate Center for Gerontology.

0.2.a. A department is the basic educational unit within the College for instruction, research, service, practice and extension in a defined field of learning.

0.2.b. The Departments shall have responsibility to the College as their primary mission.

6.2.a. Faculty Council Responsibilities

- 6.2.a.(1). Serve as the representative voice of College faculty.
- 6.2.a.(2). Provide, with support of standing committees, the means whereby College faculty exercise governance.
- 6.2.a.(3). Foster communication among all faculty, administrators, staff, and students for purposes of effective governance.
- 6.2.a.(4). Develop and provide mechanisms to effectively inform and engage faculty in matters of governance.
- 6.2.a.(5). Establish, interpret, and enforce the College By-laws, and provide mechanisms for change of By-laws.
- 6.2.a.(6). Interpret and evaluate the Rules and Procedures of the College for conformance with faculty governance, and recommend to the faculty any modifications thereof.
- 6.2.a.(7). Act as liaison with College departments and with other University entities as appropriate to the roles and responsibilities of the Faculty Council.
- 6.2.a.(8). Report to the Dean those matters requiring administrative action.
- 6.2.a.(9). Recommend on behalf of the faculty any matters that warrant attention of the Dean of the College, the Provost, the President of the University, or the University Senate.
- 6.2.a.(10). Recommend members for the Appointment, Promotion, and Tenure Committee for subsequent approval by the Dean.
- 6.2.a.(11). Recommend appointments to standing committees.
- 6.2.a.(12). Confirm the Chair-Elect for each standing committee for the next fiscal year based on recommendations from the respective committees.
- 6.2.a.(13). Inform faculty of all committee appointments.
- 6.2.a.(14). Charge faculty standing committees, as necessary, with matters for study and recommendations.
- 6.2.a.(15). Oversee standing committees to facilitate faculty business.
- 6.2.a.(16). Facilitate all College-wide faculty elections.
- 6.2.a.(17). Receive, review, and recommend for faculty approval all requests for voting and nonvoting membership in the College Faculty.
- 6.2.a.(18). Perform other responsibilities as delegated to it by the faculty or recommended to it by the Dean.

6.2.b. Faculty Council Membership

- 6.2.b.(1). Faculty Council is comprised of voting faculty representing each of the College departments.
- 6.2.b.(2). Council representatives shall serve two-year terms.

7.5.b.(5). The Dean shall be an ex officio, nonvoting member.

7.5.b.(6). Appropriate Associate and Assistant Deans shall be ex officio, voting members. Additional Directors from the college may be non-voting members.

7.5.b.(7). Shall submit a copy of the minutes of all meetings in a timely manner to the Chair of the Faculty Council, Dean, and to the central file in the college administrative offices.

7.5.b.(8). The Chair shall maintain a record of attendance at meetings.

7.5.b.(9). Shall submit an annual report to the Dean, the Faculty Council, and to the central file.

7.5.b.(10). Shall perform other responsibilities as delegated to it by the faculty, Faculty Council, or Dean.

8.0. SUSPENSION OF BYLAWS

A specific bylaw may be suspended by a vote of three-fourths of the eligible voting faculty member present at a meeting of the College of Public Health faculty when the quorum is present. A suspension motion must include a rationale and an expiration date.

9.0. REVIEW AND AMENDMENT

9.1. The Bylaws of the faculty of the College of Public Health may be amended at any regular or special meeting of the College faculty provided at least fourteen days have elapsed between circulation to the faculty of the proposed amendment(s) and final consideration of passage.

9.2. Revisions to the Bylaws must be approved by two-thirds of the voting faculty not on leave.

9.3. Revisions to the Bylaws shall become effective upon approval of the Provost.

Amended: August 2005
Amended: August 2006
Amended: April 2008
Amended: April 2010
Revised: December 2013

GATTON COLLEGE OF BUSINESS APPROVAL

Spring Faculty Meeting
Gatton College of Business and Economics
Friday, April 24, 2015

Felipe Benguria, Brian Bratten, Monika Causholli, Paul Childs, Anthony Creane, Tereza Dean, Josh Ederington, Scott Ellis, Wally Ferrier, John Garen, Bob Gillette, Dan Halgin, Ana Herrera, Gordon Holbein, Gail Hoyt, Zhi Huang, David Hulse, Cynthia Miller, Rose Kim, Carlos Lamarche, Anita Lee-Post, Mark Liu, Wendy Liu, Lala Ma, Tom Pope, Frank Scott, Steve Skinner, Scott Soltis, Sudharshan, Jane Wells, Dave Ziebart, Jim Ziliak

Approval of minutes from December 12th meeting – all approved

<u>The Graduate Certificate in Health Care – Dr. Steve Skinner</u>

An email has circulated with details of the proposal for the Graduate Certificate in Health Care. Dr. Joe Labianca has worked on it this and we received the MBA policy committee approval. I'd like to get a vote and move ahead.

Dr. Jim Ziliak – why healthcare certificate and not administration

- Harvie was approached three years ago and was interested in more MBA's getting that degree but focused on healthcare.
- Nationwide this is not uncommon. Demand and interest was there.

Dr. Wally Ferrier - graduate certificate open to others in the university

- Yes, might go more health degree, or other. It will count towards MBA degree

Dr. Joe Labianca - just make sure you understand this is modular. They will use this to move onto a master's degree. It is flexible.

No further discuss, all in favor – no opposed

LETTERS OF SUPPORT

Faculty of Record

December 18, 2015

I strongly support the Graduate Certificate in Improving Healthcare Quality and will serve as a member of the faculty of Record.

Jim Holsinger

December 19, 2015

Jim,

I strongly support the Graduate Certificate in Improving Healthcare Quality and am happy to serve as a member of the Faculty of Record.

Let me know if you need anything else.

Steve Skinner

January 4, 2016

Dr. Holsinger,

I am happy to accept a role on the Faculty of Record for the Graduate Certificate in Improving Healthcare Quality.

Thank you for providing me the opportunity to participate in such an important certificate program.

I look forward to the launch of the certificate.

Sincerely, SW

Sarah Wackerbarth, Ph.D.
Associate Professor, Health Management & Policy
MPH Concentration Advisor, Population Health Policy & Management

---

January 14, 2016

Hi James,

I have been home recovering from surgery and this slipped through the cracks. I would be happy to serve as a faculty of record for the COE/Lean Systems Program.

Abbot Maginnis

Gatton
COLLEGE OF BUSINESS & ECONOMICS
UNIVERSITY OF KENTUCKY

UK
UNIVERSITY OF KENTUCKY

December 23, 2015

Dear Members of the University Senate:

It is my privilege and pleasure to serve as Faculty of Record for the new Graduate Certificate in Improving Healthcare Value. This is an innovative program born of a great and willing collaboration between the University of Kentucky's College of Public Health and the Gatton College of Business and Economics, with assistance from the College of Engineering. The faculty members from all colleges are excited to see this certificate come into being because we all believe that as the healthcare industry is undergoing radical transformation, there will be great need for additional educational opportunities for those attempting to lead the required changes to their organizations. Our faculty have voted overwhelmingly in favor of this certificate multiple times and are prepared to support it.

I look forward to serving with my colleagues from around the university on this interdisciplinary certificate's Faculty of Record. I know that we are all looking forward to the certificate becoming a reality. Thank you for your assistance in reviewing this program.

Sincerely,

Giuseppe (Joe) Labianca
Gatton Chair in Management
Department of Management
Co-Director, LINKS Center for Social Network Analysis
Co-Director, University of Kentucky/University of Louisville Executive MBA Concentration
Director, Don and Cathy Jacobs Executive Education Center
Gatton College of Business & Economics
University of Kentucky
Lexington, KY 40506-0034

Gatton
COLLEGE OF BUSINESS & ECONOMICS
UNIVERSITY OF KENTUCKY

UK
UNIVERSITY OF KENTUCKY

October 12, 2015

TO: Joe LaBianca
Director, Don & Cathy Jacobs Executive Education Center

FR: Brad Jordan B. Jm
Chair, Department of Finance and Quantitative Methods (FAQM)

RE: Graduate Healthcare Certificate Program

In my role as department chair, I've reviewed the Graduate Healthcare Certificate Program and agree that it will serve an important role in extending improved education among healthcare professionals. My department is willing to offer and staff a special section of FIN 600 that is healthcare focused in support of this new certificate program.

Department of Finance & Quantitative Methods | 344 Gatton College of Business and Economics Building
University of Kentucky | Lexington, KY 40506-0034 | 859.257.9160 | gatton.uky.edu

Gmail by Google

Joe Lablanca <joelablanca@gmail.com>

Graduate Healthcare Certificate Letter

Hoyt, William <whoyt@uky.edu> Mon, Oct 12, 2015 at 2:20 PM
To: "Lablanca, Joe" <joe.lablanca@uky.edu>

Gatton
COLLEGE OF BUSINESS & ECONOMICS
UNIVERSITY OF KENTUCKY

UK
UNIVERSITY OF KENTUCKY

Department of Economics

Dear Joe,

As department chair, I have reviewed the Graduate Healthcare Certificate Program and agree that it will serve an important role in extending improved professional education among healthcare professionals. My department is willing and able to offer a special section of ECO 610 focused on healthcare in support of this new certificate program.

Bill

William Hoyt

Chair and Gatton Endowed Professor

Department of Economics

Gatton College of Business and Economics

University of Kentucky

Lexington, KY 40502

whoyt@uky.edu

859-257-2518

Gmail by Google

Joe Lablanca <joelablanca@gmail.com>

Graduate Healthcare Certificate Letter Request

Hardesty, David M <dmhard3@email.uky.edu> Tue, Oct 13, 2015 at 2:40 PM
To: "Lablanca, Joe" <joe.lablanca@uky.edu>

Hello Joe,

In my role as department chair, I've reviewed the Graduate Healthcare Certificate Program and agree that it will serve an important role in extending improved professional education among healthcare professionals. My department is willing to offer and staff a special section of MKT 600 that is healthcare focused in support of this new certificate program.

David

David Hardesty

Carol Martin Gatton Endowed Chair

Department Chair Marketing and Supply Chain

Director of the Von Allmen Behavioral Lab

University of Kentucky

david.hardesty@uky.edu

UNIVERSITY OF KENTUCKY

Gatton
COLLEGE OF BUSINESS AND ECONOMICS

October 20, 2015

Department of Management
334 Gatton Business and Economics Building
Lexington, KY 40506-0034
(859) 619-9819
Fax: (859) 257-3577
http://gatton.uky.edu

In my role as Chair of the Department of Management, I've reviewed the Graduate Healthcare Certificate Program and agree that it will serve an important role in extending improved professional education among healthcare professionals. My department recognizes that if students choose to go on for their MBA degrees, they will likely opt out of the Global Management course to take the Healthcare Leadership course. We endorse this based on the more-local needs of the students likely to enroll in this certificate program.

Sincerely,

Daniel J Brass

Daniel J. Brass
J. Henning Hilliard Professor of Innovation Management
Director, LINKS Center for Social Network Analysis
Chair, Department of Management
University of Kentucky
Lexington, KY 40506
dbrass@uky.edu
http://linkscenter.org
859-257-4260

Gatton
COLLEGE OF BUSINESS & ECONOMICS
UNIVERSITY OF KENTUCKY

UK
UNIVERSITY OF KENTUCKY

October 20, 2015

Dean David Blackwell
Gatton College of Business and Economics

Dear Dave,

In my role as director of the Von Allmen School, I've reviewed the Graduate Healthcare Certificate Program and agree that it will serve an important role in extending improved professional education among healthcare professionals. My department is willing to offer and staff a section of ACC 628 "Financial/Managerial Accounting" (to be cross listed with existing courses HA 635 and CPH 655) that is healthcare focused in support of this new certificate program.

Sincerely,

Urton Anderson
Director and EY Professor of Accounting
Von Allmen School of Accountancy

Holsinger, James

From: Renfro, Michael
Sent: Thursday, January 14, 2016 6:45 PM
To: Holsinger, James
Subject: RE: A Question

Jim,

We are in the process of changing the course number from 609 to 509. I don't think this is through the system yet and we will continue to offer the course as 609 until it is changed. Can you list it as either MFS 609 or 509?

I approve listing MFS 526 and either or both of MFS 509 and MFS 609 for the Graduate Certificate in Improving Healthcare Value.

Mike

From: Holsinger, James
Sent: Thursday, January 14, 2016 3:12 PM
To: Renfro, Michael <michael.renfro@uky.edu>
Subject: A Question

Hey Mike: I have received additional information from the Senate Council on the Graduate Certificate in Improving Healthcare Quality. They have asked if there is a misprint in your email of September 30, 2015, approving the use of MFS 526 and 509. In the Document we have it listed as MFS 609. Please let me know the correct course number. I think I remember that the course number was being changed and if this has already bee n approved, I can change it in our document. If MFS 609 is correct, please send me a new email approving listing MFS 526 and MFS 609 for the Graduate Certificate in Improving Healthcare Value. Thanks a bunch! Jim

James W. Holsinger Jr., MD, PhD
Wethington Endowed Chair in the Health Sciences
Director of Global Health Training and Research
College of Public Health
111 Washington Avenue, Suite 107
Lexington, Kentucky 40536-0003
859-218-2041 (O)
859-257-2821 (FAX)
jwh@uky.edu

Executive Summary Revised 2/28/16

UK College of Engineering

First-Year Engineering Curriculum and Course Change Proposal

The nine Bachelor of Science degree programs in the UK College of Engineering propose a First-Year Engineering curriculum to increase retention through hands-on laboratory courses, improve preparation for discipline specific coursework and recruit students as undeclared engineering students while they make an informed decision about the degree program best suited to their interests and career goals. Elements of the proposal include:

- Rationale for the First-Year Engineering curriculum
- Three new First-Year courses
  - EGR 101 Engineering Exploration I (1 credit)
  - EGR 102 Fundamentals of Engineering Computing (2 credits)
  - EGR 103 Engineering Exploration II (2 credits)
- One new introductory course for transfer students
  - EGR 112 Engineering Exploration for Transfer Students (1 credit)
- UK Core Arts & Creativity request
- Structure, oversight and assessment of the First-Year Engineering curriculum
- Curriculum Change Forms
  - All nine degree programs incorporating the new EGR courses
  - Additional curriculum revisions in some degree programs
  - Updated Engineering Standing criteria
  - Acknowledgment by departments whose courses will be dropped or added
  - New course and course change applications in eCats

Rationale:

First-Year Engineering (FYE) curricula representing multiple engineering disciplines are several decades old and range from a single seminar course to sequences of courses differentiated for pre-calculus to honors students. High school students who are unsure of which type of engineering is most appealing are drawn to schools with broader freshman year experiences with the opportunity to delay the selection of a major. In addition, exposing first year students to hands-on engineering experiences while they are taking their math, chemistry and physics classes not only develops engineering skills early on but increases retention and graduation rates by keeping the students actively engaged in the engineering disciplines. Within the Southeastern Conference engineering schools, five institutions offer FYE courses and none are as comprehensive as the proposed UK FYE content. For example, Vanderbilt University students choose three five-week modules and an optional seminar rather than exposure to all degree programs. University of Tennessee offers Engineering Fundamentals courses which focus on Physics for Engineers for calculus ready students. Texas A&M, University of Alabama and University of Arkansas FYE opportunities are fewer credit hours when compared to the UK COE curricula with some disciplinary specific coursework. Engineering schools that have adopted a FYE curriculum have reported improved retention and graduation rates. For example, the University of Tennessee demonstrated an increase in 1st year retention from 60% to 80% and an increase in 6-year graduation rate from 40.5% to 46.6%. Their 6-year graduation rate for females showed a dramatic increase from 39.7% to 51.6%.

Ohio State also adopted a similar curricula and reported an increase in 6-year graduation rate from 37% to 60% and a first year retention rate of 80%. Tennessee also reported that the grades obtained by their students in higher-level courses increased after adopting the FYE curriculum.

The College of Engineering is proposing a FYE curriculum where all incoming freshmen engineering students will be admitted as an undeclared engineering student and will change to the pre-major of their choice during the spring registration cycle for their 2nd year classes. No additional admission criteria or enrollment limits will prevent students from declaring a major. Each program already has Engineering Standing criteria in place to ensure students are making satisfactory progress toward their degree. All students will be required to complete three Engineering courses EGR 101, 102, 103 during the first year while completing CIS/WRD, science and math classes.

Transfer students will be admitted directly to a pre-major program and enrolled in EGR 112 with other transfer students rather than EGR 101. Both 101 and 112 emphasize study skills and university resources available to help them become successful engineering students. Specific technical skills covered in EGR 101 as modules will also be used in EGR 112, however, transfer students will only need to complete the modules that fill gaps from their previous coursework. Students will not be allowed to earn credit for both EGR 112 and 101 (one or the other). If a student has AP credit or transfer credit for the programming language taught in EGR 102, they will not need to take EGR 102. We do expect everyone to take EGR 103 for the teamwork and design process experience. Transfer students will not be prevented from going forward with coursework in their major and can take the EGR courses simultaneously.

The College of Engineering section of the UK Bulletin has some inconsistencies in the way in which each degree program has presented its Pre-Major Requirements, Major Requirements and criteria for Engineering Standing. Entries in the Curriculum Change forms reflect the current information as it appears in the Bulletin, however, we would like to present a more consistent set of descriptions going forward. For example, the Pre-Major Requirements will now be the courses listed in the first three semesters of each degree program. Engineering Standing criteria are determined by the faculty in each program and calculated based on a subset of the Pre-Major courses in that program. The Major Requirements are now the required courses in semesters four through eight. As a result of these clarifications, it will be much easier for prospective students to compare and contrast their options as part of their decision to choose the UK College of Engineering and subsequently choose their major at the end of the First-Year experience.

EGR Courses:

<u>EGR 101 Engineering Exploration I</u>

1 credit   Lecture   Major Revision   Arts & Creativity

Course Description: Engineering Exploration I introduces students to the creativity inherent in how engineers and computer scientists approach innovation, design and problem solving from blue sky brainstorming to implementing a solution. Students will work in teams, practice with tools of the trade (modeling, analysis and visualization), provide peer reviews and discuss ethical implications of creative endeavors. This class is also a process of personal discovery where students explore a variety of traditional and non-traditional study and learning methods, reflect on the results of using different methods and determine what work best for their individual learning styles and personality type. The final individual artifact is a Create Your Future project describing the student's exploration of their own talents and aptitudes, discovery process for identifying a specific discipline and a visual presentation of their career goals. Open to students enrolled in the College of Engineering.

Prerequisites: Enrolled in the College of Engineering or MA ACT of at least 23 or equivalent.

EGR 102 Fundamentals of Engineering Computing

2 credits Lecture and Lab New course

Course Description: Fundamentals of Engineering Computing introduces students to the practice and principles of computer programming and computational problem solving. Students will engage in hands-on project-based problem solving using modern computer software and hardware, with a particular emphasis on problems and techniques commonly appearing in various domains of engineering. Open to students enrolled in the College of Engineering.

Prerequisites: Enrolled in the College of Engineering or MA ACT of at least 23 or equivalent.

EGR 103 Engineering Exploration II

2 credits Lecture and Lab New course Arts & Creativity

Course Description: Engineering Exploration II focuses on a semester long creative engineering design project with students working in teams to apply the skills and tools introduced in EGR 101 (or EGR 112) and EGR 102. Topics and assignments include more in depth engagement with engineering tools for modeling, analysis, visualization, programming, hardware interfacing, team development, documentation and communication. Students gain experience in project management, identifying constraints, accepting and providing critical analysis, iterating to refine their work, and technical report writing.

Prerequisites: Prereq: EGR 102 or equivalent; Prereq or concur: MA 113

EGR 112 Engineering Exploration for Transfer Students

1 credit Lecture New course Arts & Creativity

Course Description: Engineering Exploration for Transfer Students welcomes transfer students to the College of Engineering and introduces them to the creativity inherent in how engineers and computer scientists approach innovation, design and problem solving from blue sky brainstorming to implementing a solution. Students will work in teams, practice with tools of the trade (modeling, analysis and visualization), provide peer reviews and discuss ethical implications of creative endeavors. This class is also a process of personal discovery where students explore a variety of traditional and non-traditional study and learning methods, reflect on the results of using different methods and determine what work best for their individual learning styles and personality type. The final individual artifact is a

Create Your Future project describing the student's exploration of their own talents and aptitudes, discovery process for identifying a specific discipline and a visual presentation of their career goals. Students who received credit for EGR 101 are not eligible for EGR 112..

Prerequisites: Enrolled in the College of Engineering or MA ACT of at least 23 or equivalent. Students who received credit for EGR 101 are not eligible for EGR 112.

UK Core Arts & Creativity Request:

Credit for Intellectual Inquiry – Arts & Creativity is requested for EGR 101, 103 and 112 to provide students with a total of 3 credit hours from two courses. EGR 101 for freshmen and EGR 112 for transfer students include personal reflection assignments, peer feedback and an individual design project on their plans for becoming a successful engineering student. The technical tools used in all three courses are different approaches which can be used independently or simultaneously to design and solve engineering problems. Students will be introduced to disciplinary practices from all engineering degree programs, appropriate resources from each discipline and opportunities for co-curricular involvement with student organizations and local professional societies. The semester-long design project in EGR 103 will involve identifying constraints and requirements, preliminary design reviews and a critical design review where their creative output will be evaluated and feedback into refining their product. The final product will include written and graphical documentation, a working prototype and demonstration of the prototype accomplishing the goals defined at the start of the project.

Active learning methods will be used in EGR 101 and 112 to stimulate small group discussion and peer review of student success strategies, problem solving methods and team teaching of technical skills. The Design Your Process project on individual student success is a fulfillment-focused creative process encouraging students to set academic and professional goals, take personal responsibility for their progress and enjoy time on task in rigorous challenging courses. The team design projects in EGR 103 will be more constraint-focused and product-focused creative endeavors working with a somewhat limited set of materials. Risk-taking will be encouraged in the safer virtual domains of software, simulation, visualization and optimization before committing to the real world assembly of the prototype. Tools including hardware and software, and information literacy on the many aspects of design will be presented and quizzed on a weekly basis. In addition to getting involved in student organizations, students in EGR 101 will be expected to attend a minimum of four Engineering Information Sessions and reflect on the information in preparation for the Change of Major and registration for discipline specific courses.

Structure, Oversight and Assessment of the First-Year Engineering Curriculum:

The FYE Curriculum is under the leadership of the Director, Dr. Janet Lumpp. In the development phase, the Department Chairs and Directors of Undergraduate Studies have provided input as well as a committee of representatives from each degree program defining the technical content appropriate for each EGR course. Regular Title Series Faculty, Lecturers, Staff and Special Title Series Faculty will teach the multiple sections of EGR 101, 102, 103 and 112, along with graduate and undergraduate teaching assistants. In anticipation of a Fall 2016 launch of the new courses, the College of Engineering plans to hire 4 or 5 additional Lecturers and/or Special Title Series Faculty with academic appointments in departments and effort assigned by the Dean of Engineering to the FYE Curriculum. An Advisory Committee will be formed with one tenured Associate or Full Professor representative from each engineering degree program. The Advisory Committee will conduct annual performance reviews of the Lecturers and STS Faculty, review student course evaluations and evaluate progress toward goals set by the Dean for recruitment, retention and graduation. In addition, the Advisory Committee will help identify discipline specific content for EGR course assignments and assess how the EGR content is impacting the students and courses during the sophomore, junior and senior years. As part of the annual review process, the Director will solicit input from all of the faculty teaching sections of the EGR 101, 102, 103 and 112 courses and present the results to the Advisory Committee. The Advisory Committee may recommended changes which will then be taken to the FYE Faculty and Associate Dean for Administration and Academic Affairs for consideration. Changes will be subject to the appropriate College and University approval procedures which may include review by the College of Engineering Faculty as the faculties of record.

College of Engineering Process and Faculty Approval

Beginning Spring 2014, Dean John Walz and Associate Dean Kim Anderson visited a number of Universities that currently have a Freshman Engineering Program. These included Ohio State, Purdue, University of Michigan and Michigan State. On July 17, 2014, the proposal to adopt a First Year curriculum was discussed with the Chairs and Associate Deans at an all-day retreat. During Fall 2014 and Spring 2015, the Directors of Undergraduate Studies in the College of Engineering and a working group of interested faculty worked on both the First Year Engineering curriculum and the engineering courses that would be offered as part of the program. Each group met at least once a month during this time. On April 28, 2015, a College of Engineering Faculty meeting was held where the proposed curriculum was presented to the faculty in attendance. The PowerPoint slides were then circulated to the entire faculty for their review. Also in Spring 2015, a search for the Director of the First-year Engineering Curriculum was conducted, resulting in the selection of Dr. Janet Lumpp and 50% appointment. On May 12, 2015 a mandatory meeting with the Chairs and Directors of Undergraduate Studies was conducted with Dean Walz, Associate Dean Anderson and Dr. Lumpp to further discuss the curriculum. At this meeting, it was decided to move forward with the plans. Dr. Lumpp met at least once a month with various stakeholders over the spring and summer of 2015 including the Directors of Undergraduate Studies to develop and revise the original two-course sequence into a three-course sequence and a pathway for transfer students. Another debriefing meeting was held with the Chairs and Directors of Undergraduate Studies on July 10, 2015. During faculty retreats and meetings in August and September of 2015, the faculty in each department reviewed the course descriptions and voted to endorse the curriculum. The Directors of Undergraduate Studies then worked to revise their curricula and faculty again voted as recorded on the Curriculum Change forms. In October 2015, the entire package including the changes in the curricula, new courses and change in courses were reviewed by the College of Engineering Undergraduate Education Team and the College of Engineering faculty prior to being sent to the Undergraduate and Graduate Councils. In addition to College approval, the proposed Freshman Engineering curriculum was discussed with the Dean's Advisory Council at both Spring and Fall meetings beginning in Spring, 2014 and was very well received by members of the Council.

Biosystems Engineering

Voted at faculty meeting on August 18-19, 2015. Passed unanimously. All active faculty were present at retreat.

Chemical and Materials Engineering

Voted at faculty meeting on August 26, 2015. Passed unanimously. 18 Chemical faculty members (4 Paducah) voted. 7 Materials faculty voted.

Civil Engineering

Voted on August 20, 2015. The count was 18-1.

Electrical and Computer Engineering

Voted at faculty meeting on September 29, 2015. Passed unanimously. 17 faculty members voted.

Computer Science

Voted on August 24, 2015. The count was 18-0.

Mechanical Engineering

Voted at faculty meeting on September 24, 2015. 22 in favor and 2 against.

Mining Engineering

Voted at faculty meeting on September 2, 2015. 6 approved and 1 abstained.

Proposed addition to sections of SR 6.4 to clarify the rules pertaining to the stand of proof when adjudicating student offences.

Background: (reference the Ombud report to the Senate)
After defining the standard of proof, then all reference to findings in S.R. 6.4 will include "standard of proof". So below includes the proposed additional text throughout S.R. 6.4, after defining the standard of proof in the definition section.

6.4.0 Definitions

For purposes of this Section 6.4:

…..

J. The preponderance of the evidence standard shall be the "Standard of Proof" applied by each decision maker when determining whether a student has committed an academic offense.

6.4.3 Initial Determination

A. By the Instructor and Chair

….

2. **Finding.** The instructor shall consider the evidence and the student's response and shall decide, based on the standard of proof, whether the student committed an academic offense. Any such finding shall be made within 7 days after the meeting with the student, unless the student consents in writing to an extension of this time. However, if the student fails to respond to the invitation to meet within the deadline or fails to attend a meeting that was agreed upon by all parties, the instructor may make a finding immediately thereafter.

….

B. By the Dean

1. **Cases Requiring Action by a Dean.** A dean may be required to take action in a case of an academic offense in the following circumstances:

….

(c) A student enrolled in the dean's college is accused of an offense, either with respect to a course in which the student is not enrolled, or in academic work outside of a course (for example, an honors project or dissertation, a graduate examination, a thesis or dissertation, or a formally submitted thesis or dissertation proposal). In this case, the procedure outlined in paragraphs 6.4.3.A.1, 6.4.3.A.2, and 6.4.3.A.4 above shall be followed, except that the dean assumes the roles of both instructor and chair. If the dean finds the student committed the offense, based on the standard of proof, the dean shall either decline to impose a penalty or shall forward the case to the Provost recommending a penalty of suspension, dismissal, expulsion, or revocation of a degree. The student has the right to appeal any finding, even if no penalty is imposed, and any recommended penalty, pursuant to Section 6.4.4 below.

….

C. By the Registrar

....

1. Finding. The Registrar shall consider the evidence and the student's response and shall decide whether the student committed the alleged offense, based on the standard of proof. Any such finding shall be made within 7 days after the meeting with the student, unless the student consents in writing to an extension of this time. However, if the student fails to respond to the invitation to meet within the deadline or fails to attend a meeting that was agreed upon by all parties, the Registrar may make a finding immediately thereafter.

….

6.4.4 Appeals to the University Appeals Board

A. Preliminary consideration by the Academic Ombud

….

2. Merit of Appeal of Penalty for Minor Offense. If the student does not dispute the finding of a minor offense [as defined in paragraph 6.4.3.A.3.d], but the student desires to appeal the penalty on the basis that it is unduly harsh, the Academic Ombud shall decide whether the appeal has merit, based on the standard of proof. In making such a decision, the Academic Ombud should proceed with deference to the instructor's traditional autonomy and authority over the course.

….

B. To the Appeals Board

….

4. Scope of review

(a) Violation. The Appeals Board shall sit as a fact-finding body and determine whether or not the student cheated, plagiarized, or falsified or misused academic records from such evidence as is brought before the Board (including testimony under oath, written statements, exhibits, and a view of the classroom where the cheating occurred if this be an issue). The Board may call witnesses on its own initiative and may continue the hearing for this purpose. The Board shall find the student did not commit the offense unless a majority of members present decides otherwise, based on the standard of proof, and given the evidence provided.

....

Current Benchmarks Identified by the University Review Committee

Institution	Document	Standard	Reference
Michigan State Univ.	Academic Freedom for Students at Michigan State Univ.	preponderance of the evidence	7. IV. D
Ohio State Univ.	Code of Student Conduct	preponderance of the evidence	FAQ
Univ. of Arizona	CODE OF ACADEMIC INTEGRITY	Preponderance of the evidence	p2
Univ. of California - Davis	The Student Disciplinary System at UC Davis	Preponderance of the evidence	p2
Univ. of Florida	4.042 Student Honor Code and Student Conduct Code	Preponderance of the evidence	
Univ. of Iowa	Student Judicial Procedure	preponderance of the evidence	item 9
Univ. of Michigan - Ann Arbor	Statement of Student Rights and Responsibilities	clear and convincing evidence	VI.2.C
Univ. of Minnesota - Twin Cities	Student Academic Integrity Misconduct Procedures	more likely than not (which is preponderance)	3.2.7.C
Univ. of Missouri - Columbia	Standard of Conduct	preponderance of the evidence	various
Univ. of North Carolina at Chapel Hill	Instrument of Student Judicial Governance	clear and convincing (mainly) and preponderance of the evidence	various
Univ. of Wisconsin - Madison	Student Academic Misconduct Policy & Procedures	both, depends on severity of the case	various

To: Senate Council
From: SREC
RE: Proposal to Change to SR 1.5.2 and Proposal re: to GR X.A.2.b

1. Proposal: That the Senate Council approve changes in SR 1.5.2 and send to the Senate floor. The ‘ Note’ in SR 1.5.2 be deleted as shown below.

1.5.2 ELECTION: TWO VOTING UNIVERSITY FACULTY MEMBERS, BOARD OF TRUSTEES

[See US: 10/12/88; US: 10/8/2001; US: 12/8/05; BoT: 6/2005]
As specified state law (KRS 164.131(1)(e) and implemented in the *Governing Regulations* (Part II.A.2.b.1) there shall be two (2) voting faculty members of the Board of Trustees who are “members of the faculty of the University.” In accordance with KRS 164.131(3) and as implemented in GR II.A.2.b.1, the University Faculty members who are eligible to vote for, and eligible to serve as, elected members of the Board of Trustees shall be those members who are regular, full-time faculty employees with a rank at the level of assistant professor (or its equivalent, Librarian III) or above, whose primary assignments, i.e., more than fifty percent (50%), are in instruction, research, and/or public service, as defined in *Human Resources Policy and Procedure Administrative Regulation 4.0: Employee Status.* [GR II.A.2.b.(I)]

> * For the purposes of election of Faculty Trustees, AR 3:2 is here interpreted to allow voting by, but not election of, faculty employees on phased retirement. [SREC: 12/17/13].

~~(NOTE: GR X-1 states that: Members of the Board of Trustees, except those elected to the Board as faculty, staff, or student representatives, and relatives of any member of the Board of Trustees are ineligible for employment at the University. "Relatives", as used above, include parents and children, husbands and wives, brothers and sisters, brothers- and sisters-in-law, mothers- and fathers-in-law, uncles, aunts, nieces and nephews, sons- and daughters-in-law, and step-relatives in the same relationships. Employment includes regular and temporary full- and part-time employment, including student work-study and graduate assistant programs.)~~

Rationale: Pursuant to Kentucky Attorney General Opinion OAG15-009 issued April 16, 2015, “A person may be elected or appointed to a state college or university board of regents or trustees if that person has a relative who is employed by the college or university prior to the election or appointment of the regent or trustee.” However, a relative of a trustee may not begin employment at the University during the trustee’s term. SR 1.5.2 needs to be corrected to reflect the Attorney General’s Opinion.

UNIVERSITY OF KENTUCKY
Regulations

Administrative Regulation 3:2

Responsible Office: Executive Vice President for Finance and Administration / Vice President for ~~Associate VP~~ Human Resources

Date Effective: DRAFT~~10/16/2007~~

Supersedes Version: 10/16/2007~~6/12/2007~~

Phased Retirement Policy and Program

(Approved by the Board of Trustees)

Major Topics

I. Introduction~~Policy~~

The Phased Retirement Program ("program") is designed to provide an opportunity for eligible full-time faculty and staff employees to make an orderly transition to retirement through part-time service. It is entirely voluntary and is~~will be~~ implemented by written agreement between the ~~faculty or staff~~ employee~~s~~ and the University. The program does not create an absolute right of employees to phased retirement. A decision to request phased retirement rests entirely with the individual employee and shall be granted only when in the best interests of the University.* The ~~P~~program is ongoing, but may be eliminated at any time by the University.

* NOTE: This is not new language, but was moved from another section. This note will be removed after approval of revisions.)

II. Entities Affected

This regulation applies to all employees of the University who are eligible for the program in accordance with Section III of this regulation.

III. Eligibility~~ and Approval~~

A. The ~~Phased Retirement P~~program is available to all full-time faculty and staff employees who have completed fifteen (15) years of full-time service (in accordance with AR 3:1) at the University of Kentucky and who are age sixty (60) or older by the commencement of their phased retirement.

B. Individuals who have already taken regular retirement are not eligible for phased retirement under this ~~p~~Program.

~~B. A decision to request a phased retirement appointment rests entirely with individual employees. Phased retirement that is requested and approved shall commence on the date agreed upon by the employee and the University and recorded in the written agreement.~~

~~C. The Phased Retirement Program does not create an absolute right of employees to a phased retirement. Phased retirement appointments must be requested by eligible employees but shall be granted only when such appointments are in the best interests of the University.~~

~~II~~IV. Requests for Phased Retirement

A. Faculty Requests

1. The faculty employee is responsible for confirming eligibility for participation by contacting Human Resources.

2. After obtaining verification of eligibility, ~~A~~a faculty employee shall submit a written request ~~for a phased retirement appointment~~ to the educational unit administrator outlining the proposed terms and using the Phased Retirement Agreement form (add Hyperlink to form). The request shall be submitted at least six (6) months before the date upon which the phased retirement~~such appointment~~ would become effective unless the affected educational unit administrator and the dean agree to accept a later submission. ~~The request shall include a completed, signed, and notarized phased retirement agreement and its attendant paperwork.~~

3~~2~~. The educational unit administrator shall review the request and, if necessary, meet with the faculty employee to discuss whether any terms of the proposal should to be modified to ensure that the phased retirement is in the best interests of the University. The educational unit administrator shall make a recommendation to the dean. The dean shall review the request and recommendation of the educational unit administrator and make a recommendation to the Provost. The Provost shall have final approval authority.

4. Once all the terms and conditions of the proposed phased retirement are agreed upon, the final Agreement shall be documented using the Phased Retirement Agreement form (add Hyperlink to form). The Agreement is deemed "executed" once all necessary parties have signed the Phased Retirement Agreement form.

B. Staff Requests

1. The staff employee is responsible for confirming eligibility for participation by contacting Human Resources.

2. After obtaining verification of the eligibility, ~~A~~a staff employee shall submit a written request for ~~a~~ phased retirement ~~appointment~~ to the supervisor of the administrative unit to which the employee is assigned using the Phased Retirement Agreement form (add Hyperlink to form). The request shall be submitted at least three (3) months before the date upon which the phased retirement ~~such appointment~~ would become effective~~,~~ unless the affected supervisor and appropriate senior administrator agree to accept a later submission. ~~The request shall include a completed, signed, and notarized phased retirement agreement and its attendant paperwork.~~

3~~2~~. The supervisor shall review the request and, if necessary, meet with the staff employee to discuss whether any terms of the proposal should to be modified to ensure that the phased retirement is in the best interests of the University. The supervisor shall make a recommendation to the appropriate senior administrator~~(e.g., vice president or associate vice president)~~. The senior administrator shall review the request and recommendation of the supervisor and make a recommendation to the appropriate vice president, executive vice president, Provost, or President. The executive vice president, Provost, or President shall have final approval authority.

4. Once all the terms and conditions of the proposed phased retirement are agreed upon, the final Agreement shall be documented using the Phased Retirement Agreement form (add Hyperlink to form). The Agreement is deemed "executed" once all necessary parties have signed the Phased Retirement Agreement form.

~~I~~V. Terms and Conditions

~~Phased retirement appointments under this Program shall be subject to the following terms and conditions:~~

A. Phased retirement ~~appointments~~ involves a reduction of employment from full-time to part-time, but normally not less than 50 percent full-time equivalency (FTE) and not greater than 80 percent FTE. The employee's workload and schedule during phased retirement shall be determined by agreement between the employee and unit administrator as determined by the Phased Retirement Agreement. For example, phased retirement may consist of reduced course load, fewer hours per day, or fewer days per week.
~~Such appointments for faculty employees may consist of full-time work for one-half of a regular appointment period (e.g., full-time work for one semester of an academic year appointment) or half-time work for a full regular appointment period (e.g., half-time work in each of the two semesters of an academic year appointment). Instruction, research, and service assignments under such an appointment shall be determined by agreement between the faculty employee and the educational unit administrator and shall be set forth in detail in the written phased retirement agreement. Phased retirement appointments for staff employees shall normally consist of no less than 50 percent FTE throughout the fiscal year or duration of the agreement.~~

B. The salary of an employee on ~~a~~ phased retirement ~~appointment~~ shall be reduced proportional to the reduction in FTE~~by 50 percent from the salary such employee would have received but for the election of phased retirement under this program~~. Employees participating in the program ~~electing phased retirement appointments~~ shall not be eligible for promotion or ~~proportional merit~~ salary increases during the period of their phased retirement ~~program~~.

C. Phased retirement ~~under this program~~ shall not exceed five (5) years in duration.

D. Employees who ~~request and receive~~ are approved for participation in the program ~~phased retirement appointments~~ shall agree in writing to accept full retirement from the University no later than the end of the phased retirement period as determined by the Phased Retirement Agreement~~five (5) years after the commencement of reduced employment under this program~~. The agreement to enter into phased retirement and to retire at the end of the reduced employment period is irrevocable once the Phased Retirement Agreement is executed;~~,~~ however, the percentage of FTE reduction or work schedule during the phased retirement period may be amended by mutual agreement of the employee and unit administrator.

E. ~~except that n~~Nothing in this regulation shall preclude employees from electing regular retirement from the University at any point in time during the phased retirement period (even though such employees may have executed an agreement requiring retirement at some point in the future). Nothing in this regulation shall preclude a post-retirement appointment of an individual following phased retirement and regular retirement~~who has elected phased retirement under this Program~~.

F~~D~~. Faculty employees participating in the program~~on phased retirement appointments~~ shall have the same academic freedoms as other faculty and shall be held to the same professional standards ~~responsibilities~~ as ~~other~~ full-time faculty employees.

G. Faculty and staff employees participating in the program~~on phased retirement appointments~~ are subject to all University regulations and policies and ~~will~~ have access to all grievance and appeal procedures available to other employees.

VI. Retirement and Other Employee Benefits

A. Retirement Contributions

The University~~'s~~ and employee contributions to University retirement plans ~~for an employee on phased retirement appointment, and the employee's contributions as well,~~ shall be based upon the~~ir~~ employee's actual (i.e., reduced) salaries during the period of reduced employment. Employees participating in the ~~electing the Phased Retirement P~~program may access their retirement plan funds~~, without separating from the University,~~ after the ~~effective~~ start date of~~initiating~~ their phased retirement~~participation in this program~~.

B. Disability Benefits

The calculation of disability benefits for an employee on a phased retirement appointment shall be based on the equivalent of the employee's full-time salary ~~at the onset~~prior to entering the program ~~of the phased retirement appointment~~.

C. Life Insurance and Accidental Death & Dismemberment (AD&D)

The calculation of policy coverage for basic or optional life insurance and basic AD&D coverage shall be based on the equivalent of the employee's full-time salary prior to entering the program.

D~~C~~. Vacation and Other Leave

The vacation and other leave for an employee on phased retirement shall be reduced proportional to the reduction in FTE. ~~Faculty employees on phased retirement appointments are entitled to fifty percent (50%) of the paid vacation leave to which they would have been entitled had they not elected phased retirement under this Program. Staff members shall accrue temporary disability leave and vacation leave in proportion to their reduced full-time equivalency (FTE)~~.

E~~D~~. Other Benefits

In all other respects, employees participating in the program ~~on phased retirement appointment shall be~~ are entitled to the employee benefits normally offered to regular full-time employees. Employee privileges, such as parking and reduced-cost athletic tickets, shall~~will~~ be made available to employees participating in the program~~on phased retirement appointments~~ as if they were ~~on~~ regular full-time employees~~appointments~~. Requests for travel expenses and support services for employees in the program ~~on phased retirement appointments~~ shall be considered and evaluated under normal processes. An employee's use and occupancy of office or lab space shall not be adversely affected during the phased retirement period~~by electing to accept a phased retirement appointment~~.

~~VI.~~ References and Related Materials

KRS 164.220, Appointment, salaries and retirement benefits of university personnel

GR II, Governance of the University (Board of Trustees)

AR 3:1, University of Kentucky Retirement Plans

Revision History

~~AR II-1.6-2:~~ 4/30/1996, 3/4/1997, 12/10/2002, 6/12/2007, 10/16/2007

For questions, contact: Office of Legal Counsel